

**Department of Defense
Chief Information Officer**



Senior Agency Official for Records Management

2020 Annual Report

30 March 2021

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

Provide the following information (required):

Name of SAORM	Ms. Christine Condon
Position title	Deputy Chief Information Officer (CIO) for Resources & Analysis
Address	Department of Defense 6000 Defense Pentagon Washington, DC 20301-6000

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?

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 Community agencies (Defense Intelligence Agency, National Geospatial-Intelligence Agency, National Reconnaissance Office, and National Security Agency) and the Office of the Inspector General, which report separately through their own SAORMs. .

This year’s 2020 SAORM Report will include first-time inputs from the United States Space Command (USSPACECOM), which was established in 2019. The USSPACECOM Records Program reports directly to the Joint Staff Component SAORM.

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

Component SAORM	DoD Components Covered
Ms. Kathleen S. Miller Administrative Assistant to the Secretary of the Army	Dept. of Army
Ms. Gaye Evans Dept. of the Navy Assistant for Administration	Dept. of Navy
Ms. Wanda Jones-Heath Deputy CIO	Dept. of Air Force
Mr. Ronald P. Higham, Jr Director of Management, Joint Staff	Office of the Chairman of the Joint Chiefs of Staff
	National Defense University
	US Africa Command
	US Central Command
	US Cyber Command
	US European Command
	US Indo-Pacific Command
	US Northern Command
	US Southern Command
	US Space Command
	US Special Operations Command
	US Strategic Command
	US Transportation Command

Component SAORM	DoD Components Covered
Mr. Darren Irvine, Acting Director, Executive Services Division, Washington Headquarters Service	Office of the Secretary of Defense
Ms. Christine Condon SAORM and Deputy CIO for Resources and Analysis	Army and Air Force Exchange Services
	Defense Commissary Agency
	Defense Contract Audit Agency
	Defense Contract Management Agency
	Defense Counterintelligence and Security Agency
	Defense Finance and Accounting Service
	Defense Information Systems Agency
	Defense Logistics Agency
	Defense Technical Information Center
	Defense Threat Reduction Agency
	Missile Defense Agency
	National Guard Bureau

2. COVID-19 Pandemic Effect on Records Management Policy and Practices

Has the COVID-19 pandemic changed any policies or practices related to records management at your agency?

Yes

No

Do not know

During the COVID-19 pandemic, no policies or practices were changed; however, there were disruptions. Organizations worked to support users working remotely with new tools, increased bandwidth and security. For example, DoD implemented a Commercial Virtual Remote environment, which provided ability for users to collaborate while in a telework status. Existing DoD records management policies were applied to any new environments throughout the Department. In general, the DoD continues to seek improvements to meet the vision for automated management of electronic records.

The Department of the Air Force (DAF), the Defense Commissary Agency (DeCA), and Defense Technical Information Center (DTIC) reported being impacted by the closure of the Federal Records Centers' normal business operations due to the COVID-19 pandemic.

3. Information Governance Framework

Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

Yes

No

Do not know

The DoD continues its work to establish stronger relationships with those throughout the information governance framework, including, but not limited to, the newly established DoD Chief Data Officer and the Defense Enterprise Office Solution (DEOS) Program Office at the Defense Information Systems Agency (DISA). The DoD SAORM and Records Officer work with these groups on various initiatives using the formal coordination processes. In addition, the DoD Records Office is developing a strategy which will encourage closer working relationships between all those involved in information governance, including records management, information management, data management, and knowledge management groups.

4. Progress Towards Managing All Permanent Records in Electronic Format with Appropriate 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
- Do not know

The DoD is making progress towards managing all permanent records in electronic format with the appropriate metadata. DoD has several efforts to establish metadata tagging for enabling records management as well as cybersecurity, discovery, machine learning, and artificial intelligence. The DoD is working on policies and procedures to be applied across the enterprise, including a reissuance of the DoD 5015.02-STD *Electronic Records Management Software Applications Design Criteria Standard* as a DoD Manual. Policy will specifically address metadata and align with the Universal Electronic Records Management requirements and other NARA regulations.

5. Progress Towards Managing All Temporary Records in Electronic Format

Has your agency made progress towards managing all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)

- Yes
- No
- Do not know

All DoD Components have made progress towards managing all temporary records in electronic format with the exception of United States Southern Command (USSOUTHCOM). USSOUTHCOM is currently conducting a records inventory as part of efforts to rebuild their records management program and cannot assess progress toward this goal at this time.

6. IT Investments to Support Electronic Recordkeeping Transition

Is your agency investing resources in IT to support the transition to electronic recordkeeping?

- Yes

- No
- Do not know

All DoD Components have invested resources in IT. The following organizations are either in the process of migrating their support or rely on other IT providers for this support:

- USSOUTHCOM cannot identify IT investments at this time, a transition to Microsoft 365 is underway and licenses for compliance capability are pending.
- The Office of Secretary of Defense continues to advocate for additional IT investments in support of electronic recordkeeping but has concerns that the needed capabilities are not currently planned.
- Defense Contract Audit Agency and DTIC are transitioning to support from DISA and the DEOS solution.
- Defense Logistics Agency (DLA) has not invested resources in IT to support the transition. DLA Records and Information Management program submitted a Business Case Analysis for File Analysis Software in 2020 that was initially approved but pushed back to find internal funding. Currently, DLA is researching additional software solutions for submission and consideration.

7. Commercial Storage Use to Replace Records Centers

To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your agency have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
- No
- Do not know

With the exception of the following, DoD Components do not have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers (FRC):

- The Department of Navy plans to use commercial storage facilities. The Marine Corps is currently exploring options for long-term commercial storage of service-level records; however, no commercial storage space or facilities has been procured due to unanticipated and fast-approaching funding requirements. The Marine Corps plans to include this requirement in future funding initiatives.

- The DAF is giving base commanders the option to use with commercial storage.
- DeCA is considering the use of commercial storage if they are unable to transfer the records to FRCs by the deadline, digitize them, or request a waiver to maintain the remaining paper records.
- DLA is currently conducting research on commercial facilities and processes to ensure no loss of records required to be maintained in paper.
- Missile Defense Agency is developing plans to either digitize or outsource the storage of existing paper records.

In addition, the following DoD Components are assessing their need for commercial storage facilities:

- USSPACECOM intends to manage all temporary records electronically; however, USSPACECOM does not own an agency-operated records center since they are awaiting a final permanent headquarters basing decision. Shared drives are backed-up and stored at off-site facilities.
- DTIC will identify an acceptable replacement to keep the back-up tape once DTIC receives guidance from NARA regarding the Washington Records Center's closure.
- National Guard Bureau is conducting a cost analysis and market research on best practices and solutions to determine if commercial storage will be used.

8. Policies and Procedures to Capture Records of Senior Officials

Does your agency have policies and procedures that include documentation to ensure records of newly appointed and 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
- Do not know

All DoD Components have policies and procedures that include documentation to ensure records of newly appointed and outgoing senior officials are properly captured and/or processed and not improperly removed, altered, or deleted with the exception of National Defense University (NDU), United States Indo-Pacific Command (USINDOPACOM), USSOUTHCOM, Defense Counterintelligence and Security Agency (DCSA).

- NDU does not have written guidance presently; however, NDU briefs senior leaders on their records management responsibility and ensures the records are managed by trained records custodians.
- USINDOPACOM needs to conduct a review to ensure policies and procedures are being followed. Under current policy, executive assistants are responsible for capturing and processing senior officials' records.
- USSOUTHCOM is researching policies and procedures for the records of senior officials.
- DCSA was recently established as a Defense Agency and is presently drafting internal guidance.

9. Challenges for 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

Do not know

Similar to last year, there are several challenges across the DoD for meeting the goal of fully-electronic recordkeeping. Most prominently, the DoD has insufficient staff resources and funds to properly execute records management programs and meet the goals of the OMB/NARA M-19-21. Notably, these obstacles hinder the digitization of hardcopy records and/or their transfer to temporary storage.

Another major challenge is the lack of records management integration with legacy information technology (IT) solutions and failure to incorporate electronic records management requirements into new IT solutions. As a result, less efficient and costly add-on processes are necessary to achieve compliance.

There are also challenges due to adapting policies and procedures from established paper processes and expectations. As DoD Components transition from a paper-based culture, many legacy processes, such as declassification and auditing, do not yet have an electronic equivalent. Additionally, end-users are often reluctant to stop using legacy

recordkeeping systems. DoD Components continue to update policies and identify processes to transition to electronic format.

10. Suggestions for NARA to Improve Engagement

Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes
- No
- Do not know

The DoD appreciates NARA's continued support and innovations to aiding the government in making this transition. Please find below a synthesis of common themes suggested by several DoD Components. Additional specific suggestions for how NARA might support DoD and other government agencies in the transition are provided in the appendixes of this report.

Provide guidance and standards on electronic recordkeeping implementation

DoD Components would benefit from guidance on various aspects of electronic recordkeeping implementation to include cloud environments, social media records, digital signatures, records ownership designations, permanent email records, transfer of permanent electronic records, waivers, and implementation of commercial IT products such as Microsoft Office 365. In addition, the General Record Schedule should be reviewed and updated to reflect electronic records and optimize for automation. When developing guidance, DoD recommends that Components with large scale programs be engaged to ensure funding, IT, and legal constraints are considered.

Exploit Federal Records Center Program for agency benefit

Given several staffing and budget constraints, DoD Components would greatly benefit by working with NARA to identify opportunities to exploit FRC's capabilities. These capabilities include FRC's scanning capabilities to assist with the transition to electronic recordkeeping.

Provide stronger records management advocacy and engagement

The DoD would benefit from greater engagement and program advocacy from NARA. This includes the Chief Records Officer meeting with the DoD SAORM and the DoD Records Officer community to engage on DoD-specific issues and DoD enterprise solutions.

APPENDIX A

DEPARTMENT OF THE ARMY COMPONENT
SAORM REPORT

*Senior Agency Official for Records Management
2020 Annual Report
DoD Component Input from **United States Army***

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

On 28 June, 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 format by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the goals of this memorandum, and 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 31 December, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
- Question #1, #2, and #3 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #4, #5, #6, #7, #8, and #10 require all DoD Components to provide a response.
- For Question #9, the DoD SAORM requests that Components provide all applicable information.
- Please be brief and precise in your answers, and 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 on their website.

Provide the following information (required):

- Name of SAORM: Kathleen S. Miller
- Position title: Administrative Assistant to the Secretary of the Army
- Address: 101 Army Pentagon, Washington D.C., 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?

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

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

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

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

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

4. 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

Do not know

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

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 hard copy records. Army component commands using NARA guidance will work to develop a detailed plan for digitizing archival materials that by statute and/or regulation must remain onsite for a specified amount of time.

5. Has your DoD Component made progress towards managing 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 and example metrics):

Army has made tremendous progress in creating an environment with minimal use of hardcopy paper based records. For more than 18 years the majority of Army documents with the exception of fillable textual forms are maintained in digital format. With the progression of technology Army has ushered forms management into the digital age. Less than 1% of Army records require textual storage, to include records that require a raised seal and/or

wet signature. All legacy records both Long-Term Temporary and Permanent that are no longer needed for active business use will be forwarded to an FRC for storage prior to the 2022 deadlines. For instance, textual records from the Intelligence Community that require 50 years onsite storage and records created between 1972-1985 will be digitized prior to the request for acceptance by NARA. And also, all approved electronic recordkeeping systems that are classified as Stand-alone records management system for managing records throughout their life cycle until electronic transfer to the National Archives.

6. Is your DoD Component investing resources in IT to support the transition to electronic recordkeeping?

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

- Yes
- No
- Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

Records management requirements are integrated into the Army's information technology (IT) governance processes for portfolio management, risk management, capital planning, enterprise architecture, business process design, and system development. The acquisition, development, and enhancement of electronic information systems (EIS) and IT services incorporate records management and preservation considerations, and any records contained in the systems or IT services are managed in accordance with National Archives and records Administration (NARA) approved records disposition schedules.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
- No
- Do not know

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

As it is cost prohibitive, the Department of Army has no immediate intention of removing its records holdings from NARA run Federal Records Centers by December 31, 2022

8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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

Do not know

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

The Department of Army has instituted procedures for capturing senior official's records to include emails and to ensure there are no unauthorized removal of records when departing.

When a Senior Official departs service, record materials are to be reviewed by the employee and/or their designee, the Army Records Officer (ARO), Headquarters Department of Army Records Administrator (HQDARA) and/or subordinate command or instillation's appointed Record's Management Official (RMO), prior to their removal from DoD custody. To prevent violations records are segregated into the following; Federal records, non-records, and personal files. The removal of non-record information is documented using the Departing Employee Checklist. The Director, RMDA grants the authorization for release/removal of records. Additionally, the Department of the Army Capstone program 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 and the communications are eligible for transfer to NARA for permanent retention and historical preservation. (General Records Schedule 6.1: Email Managed Under a Capstone Approach)

9. Do you, as the SAORM, see challenges within your DoD Component 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

Do not know

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

The Department of Army provides the following assessment on known capabilities deficiencies, resource constraints and significant risk to achieving this goal. The challenges of funding for manpower to train the force on what records management is, codify the requirement to follow the Record Retention Schedule-Army (RRS-A), shipment of boxes to a federal records center (FRC), funding for digitalization (equipment and scanning manpower for current and past records not transferred), and current laws and/or regulations still mandating analog records creation and/or receipt. Until RM resources (funding and manpower) are programmed, the Army cannot fully implement the Transition to Electronic Records goals directed by DoD, Office of Management and Budget and NARA. An Army Management Manpower Model was validated in January 2019 which identified the requirement for 268 additional manpower authorizations for Army-wide records manager positions, which to date have not been funded. In an effort to mitigate the risk associated with resource constraints and as part of Office of the Administrative Assistant to the Secretary of the Army (OAA)/Army Headquarters Service (AHS) FY20 Process Improvement Reforms and the COVID-19 environment, the Department of Army, conducted its first-ever virtual Records Management/Freedom of Information Act (FOIA)/ Privacy-Civil Liberties Symposium. This virtual symposium was conducted with resources from the Army Multimedia and Visual Information Directorate (AMVID). The afternoon live training sessions were conducted online via the DISA Defense Collaboration Service (DCS) and Microsoft (MS) Teams platforms concurrently to maximize participation. The three-day virtual symposium pre-recorded guest speaker presentations were viewed a total of 1,102 times and the live training sessions were attended by 2,619 participants from Headquarters Army, all Army Commands, Army Service Component Commands, Direct Reporting Units, National Guard and Reserve Units and the Department of Defense. The Symposium theme was "Records, Data, and Information Management in an Electronic World" and the focus was on the Office of Management and Budget/National Archives and Records Administration Directive M-19-21, "Transition to Electronic Records." The forum provided Army and Department of Defense leadership guidance and program direction as well as live subject matter training. This event provided newly enacted Federal mandates in the Records Management, FOIA, and Privacy arena and provided guidance and policy changes in accordance with applicable laws and regulations.

Additionally, the NARA Records Rejection Rate has been a major issue for the Department of Army. Although NARA has requested the transfer of records, they are not willing to sort out the permanent from the temporary. Army does not have resources to go back through the records NARA has rejected. NARA has been sampling the offerings and then rejecting if they find a mix of temporary and permanent records. This is an uncommunicated change. By the nature of Army business and NARA approved record schedules, there will inevitably be a need for some permanent records i.e. Intelligence records created and maintained in textual format to be maintained onsite beyond the 31 December 2022 suspense.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes
- No
- Do not know

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

In order for the Department of Army to continue its work towards a solution that is compatible with NARA's electronic acceptance of records and meet the January 1, 2023 deadline, The Army recommends that NARA consider expanding and continue providing guidance on the implementation of products like Office 365 and topics like the use of digital signatures. Department of Army ask that prior to issuing OMB/NARA directed guidance to implement any proposed changes outside of OMB/NARA Directive M-19-21 regarding the transition from paper to fully electronic recordkeeping, it contemplates specific agency considerations such as funding, IT enhancements and legal constraints to allow for a realistic strategy and timeline to attain full electronic recordkeeping.

APPENDIX B

DEPARTMENT OF THE NAVY COMPONENT
SAORM REPORT

**Senior Agency Official for Records Management
2020 Annual Report
DoD Component Input from Department of the Navy**

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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
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- For Question #9, 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: Ms. Gaye Evans
- Position title: Assistant for Administration
- Address: 1000 Navy Pentagon Washington DC 20350-1000

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

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

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

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

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

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

4. 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
- Do not know

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

DON began training on the Department of the Navy's electronic records management system (ERM), DON TRACKER, in FY2020. Initial deployment of DON TRACKER for Records Management will be completed in April 2021. Additionally, the migration of all data from the Navy's previous ERM, Micro Focus Content Manager, will be completed soon thereafter. The DON has been directed by the Office of the Secretary of Defense to transition to the Task Management Tool (TMT) no later than 2022. TMT does not contain a Records Management Application (RMA). Therefore funding previously used to support DON TRACKER has shifted to TMT. The residual funding remaining for DON TRACKER records management is not sufficient to sustain the system. The DON will need to find an alternate RMA to maintain compliance with OMB M-19-21 along with additional funding. The DON will comply with the waiver that DoD CIO provided to the DON in the selection of a new ERM system. Until a Department decision is made, the Marine Corps is also looking into the capabilities of O365 as a potential service component solution.

5. Has your DoD Component made progress towards managing 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 and example metrics):

In regards to making progress, see response to number 4 above. DON TRACKER manages both temporary and permanent records.

6. Is your DoD Component investing resources in IT to support the transition to electronic recordkeeping?

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

- Yes
- No
- Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

The implementation of DON TRACKER will save the DON funding through the sun-setting of the Navy's current ERM (HPRM/CM) and records collections in various other Navy and Marine Corps systems that will be sunsetted (i.e. MCCATS and TV5). However the DON still faces funding challenges as it looks to find an alternate RMA to maintain compliance with OMB M-19-21 along with additional funding as stated in number 4 above. Various alternatives are being evaluated including Microsoft 0365.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
- No
- Do not know

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

The Navy/Secretariat plans to use commercial storage facilities.

The Marine Corps is currently exploring options for long-term commercial storage of its service-level records due to the Federal Records Center's decision to no longer support this effort. To date, a solution to procure commercial storage space or facilities has not come to bear due to unanticipated and fast-approaching funding requirements needed for this undertaking. This requirement will be included in future Marine Corps' Program Objective Memorandum (POM) briefs as well as Current Year Deficiencies (CYD) submissions.

- 8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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

Do not know

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

The DON policy is published in SECNAVINST 5210.8F. The Capstone (Senior) Official emails are automatically captured from the Navy and Marine Corps servers and moved into DON TRACKER Records Management module for storage and disposition. The Navy and Marine Corps Inspector General's checklist contain a section on Capstone emails and records.

9. Do you, as the SAORM, see challenges within your DoD Component 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
- Do not know

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

An area 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 M-19-21 requires that by 2022, all Federal Agencies will manage all permanent records in 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 exception has been granted by NARA. The DON plans to submit a request for exception. 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 development of the Budget, the DON has not budgeted 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 documents

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. We are aware that the final ruling has been published in the Federal Register for public comment.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes
- No
- Do not know

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

APPENDIX C

DEPARTMENT OF THE AIR FORCE
COMPONENT SAORM REPORT

*Senior Agency Official for Records Management
2020 Annual Report
DoD Component Input from **Department of the Air Force***

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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
- Question #1, #2, and #3 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #4, #5, #6, #7, #8, and #10 require all DoD Components to provide a response.
- **For Question #9, 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: **Department of the 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?

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

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

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

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

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

4. 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
 Do not know

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

The Department of the Air Force (DAF) initiated a pilot program to test Microsoft Office 365 and SharePoint Online capabilities for electronic records management as part of its Cloud Hosted Enterprise Services (CHES) to integrate records management into a digital environment. The pilot is still in the early phase of creating and testing retention labels with a current goal for the pilot to be completed by the fourth quarter of fiscal year 2021. The DAF Chief Information Officer (SAF/CN) collaborated with other operational organizations for their support to assist and refine the electronic records management and privacy framework business processes in Microsoft Office 365. Additionally, the Air Force made progress in implementing the Capstone email management approach in CHES for the unclassified emails of its Capstone officials across the Department in late fiscal year 2020.

In parallel, the Air Force is working towards implementing an automated solution via the Defense Enterprise Office Solution (DEOS) initiative with its involvement in the Department of Defense DEOS Records Management Tiger Team 2.0. The DAF Chief Technology Officer along with other Defense organizations participated in an auto-tagging pilot with completion of the pilot in late calendar year 2020.

5. Has your DoD Component made progress towards managing 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 and example metrics):

Same response above in the use of CHES to manage temporary records electronically, which will improve upon the existing use of shared network drives for electronic records management.

6. Is your DoD Component investing resources in IT to support the transition to electronic recordkeeping?

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

- Yes
- No
- Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

In late fiscal year 2019, the DAF funded upgrades to its Microsoft Office 365 enterprise license to provide additional records management capabilities. Several bases have invested funds and manning to digitize the hardcopy holdings in their records staging areas. During fiscal year 2020, MacDill Air Force Base (AFB), U.S. Air Forces Central (AFCENT) at Shaw AFB, Columbus AFB, Royal Air Force (RAF) Mildenhall, and Peterson AFB closed their respective records staging area (i.e., records storage facility).

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
- No
- Do not know

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

The DAF is giving the base commanders the option to use commercial storage as part of their courses of actions towards meeting the United States Office of Management and Budget Memorandum M-19-21 deadline.

8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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
 Do not know

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

The Headquarters Air Force (HAF) Records Management Office published Headquarters Operating Instruction (HOI) 33-17, *Headquarters Air Force Records Management Program*, as the formal guidance documenting the process of incoming and outgoing Senior Executive Service members, Presidential Appointees, and all General Officers assigned to the Air Staff and Secretariat. Per the HOI, senior leaders receive initial and annual training on Records Management responsibilities, including recordkeeping requirements of social media records and e-mail (such as the Capstone email preservation approach), and senior leaders certify that their training is completed. As part of the exit training process, departing DAF members sign the “AF Document Removal by Separating HAF Personnel,” affirming their understanding of records management responsibilities. Section 3.5 of Air Force Instruction (AFI) 33-322, *Records Management and Information Governance Program*, describes the process for transitioning DAF personnel to request copies or removal of official records.

9. Do you, as the SAORM, see challenges within your DoD Component 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
 Do not know

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

The DAF continues to face challenges with funding and manning. COVID-19 has impacted base assessments, transfers, and shipment of analog records due to bases being closed to non-essential personnel and the National Archives' Federal Records Centers being closed for normal business operations in accepting new transfers of hardcopy records. The Air Force is still identifying legacy business processes which require the creation of paper records.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes
- No
- Do not know

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

Given the impact on Air Force funding and manning, recommend NARA help the Department of the Air Force reduce the cost of the bill from the Federal Records Centers Program, and relook at streamlining the approval process for records disposition schedules.

APPENDIX D

CHAIRMAN OF THE JOINT CHIEFS OF STAFF
COMPONENT SAORM REPORT

APPENDIX D-1

CHAIRMAN OF THE JOINT CHIEFS OF STAFF

*Senior Agency Official for Records Management
2020 Annual Report
DoD Component Input from < Joint 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 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
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- Questions #4, #5, #6, #7, #8, and #10 require all DoD Components to provide a response.
- For Question #9, 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: Patricia Capers
- Position title: Joint Staff Agency Records Officer
- Address: 0400 Joint Staff Blvd, Pentagon
Washington DC, 20318

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

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

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

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

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

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

4. 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
- Do not know

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

Joint Staff continues to electronically capture and preserve Joint Staff Actions (case files) that are signed by Senior Leadership in our records management application with appropriate metadata. These case files make up about 75-80% of all JS Permanent records. Joint Staff has also made progress in identifying records in permanent electronic information systems. A textual records project is underway to transfer all remaining permanent hardcopy records into the Washington National Records Center which will help us reach the M-19-21 deadline for this goal.

5. Has your DoD Component made progress towards managing 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 and example metrics):

Part of the planning for meeting this goal will be to identify offices, programs, and business processes that are still generating official JS records in hardcopy. JS temporary records continue to be captured in tools like SharePoint and in shared drives. The imminent arrival of enterprise-level electronic environments, like M365 will allow the JS to more easily manage the vast amount of temporary record generated on a daily basis. The Joint Staff is also planning a major revision to its agency disposition schedule in 2021 which will help re-organize record series and disposition instructions.

6. Is your DoD Component investing resources in IT to support the transition to electronic recordkeeping?

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

Yes

No

Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

JS is transitioning to an enterprise tasking tool called TMT this summer. This tool will help the JS engage with other DoD components utilizing the same tasking tool which will help keep all records within the same system vice having to use email to conduct business. The tool will be able connect to the JS records management application (Alfresco) so that all of the actions generated in the tool are properly managed, including those that are permanent. In addition, the JS is transitioning to an enterprise-level tool suite based on O365 that will provide new email, collaboration, and content services to the JS, all of which have records management capabilities included. JS is working closely with its IT offices and IT providers to make sure that RM equities are managed and risks are mitigated.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

Yes

No

Do not know

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

Joint Staff has no plans to use commercial storage. JS is transferring all remaining hardcopy permanent records to the Washington National Records Center by the end of FY21.

8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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
 Do not know

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

Joint Staff has procedures in place to ensure records of outgoing senior officials are properly captured. All JS personnel must request permission from the JS Records Officer before removing / taking copies of records as they retire or depart the Joint Staff. The records officer may also consult with the JS Security Office or Legal Counsel. If permission is given, personnel receive further instructions, and the records office works with the Joint Service Provider to produce the copies. Final policies and procedures are in development.

9. Do you, as the SAORM, see challenges within your DoD Component 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
 Do not know

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

Funding and resources are always obstacles, especially where we are not able to digitize hardcopy records due to the complex nature of scanning classified records. In addition, due to the high classification of some JS records, a "ghost package" or hardcopy, must be used as those actions cannot be staffed via the normal process. Many processes / programs generate hardcopy records in the course of business either because the resources to update the process are not available or there is an external reason why it continues to be managed that way,

however, we continue to work with our Knowledge Management team to build processes that would eliminate hardcopy records.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes
- No
- Do not know

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

Topics for future engagements should include more guidance on cloud computing, with an emphasis on RM responsibilities, reviewing GRS verbiage for event-driven records, and updating that schedule to reflect an electronic posture.

APPENDIX D-2

NATIONAL DEFENSE UNIVERSITY

**Senior Agency Official for Records Management
2020 Annual Report
DoD Component Input from NDU**

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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
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- Questions #4, #5, #6, #7, #8, and #10 require all DoD Components to provide a response.
- For Question #9, 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: Ellen Romines
- Position title: Chief Financial Officer
- Address: 300 5th Ave SW Wash 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?

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

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

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

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

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

4. 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

Do not know

Please explain your response (include specific goals and example metrics): By Dec 2021, all Records Custodians, with the assistance of their respective teams, will continue to identify and all permanent records within our systems, ensure these documents get migrated, with appropriate metadata to Share Point 2016.

NDU-ITD has migrated most of the University's business processes to the M365 operating environment. NDU expects that the capabilities that are inherent within the solution will provide the ability to be compliant with the stated regulations and programmatically increase efficiency with the identification, assessment and labeling of records that have been determined to meet the permanent record category.

5. Has your DoD Component made progress towards managing 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 and example metrics): At least 80% of our temporary records have been identified and are being migrated to Share Point 2016 with the appropriate metadata.

With the migration, the consolidation of on-premises and cloud repositories to the M365 environment, NDU-ITD's objective is to apply Information Rights Management (IRM) policies that have been established within the M365 environment to manage data within the NEIS to include temporary records. These records would be managed according to policies that have been established by the NDU Records Manager.

6. Is your DoD Component investing resources in IT to support the transition to electronic recordkeeping?

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

Yes

No

Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain. Funding has been allocated to purchase a Records Management module to manage our records, both permanent and temporary using the appropriate metadata. This project will begin following migrating all data from shared folders to the cloud.

2018 – Issue paper submitted to OSD to request funding to modernize IT capabilities (Completed)

2019 – Funding released to NDU to execute the modernization of IT capabilities (Completed)

2020 – Initial Operating Capabilities (IOC) deployment of Microsoft 365 deployed to the NDU operating environment (Completed)

2021 – Consolidation and migration of unstructured data from disparate on-premises resources to the M365 environment (In Progress – CY21Q2)

2021 – Establishment of NDU Data Governance plan ((In Progress – CY21Q2)

2021 – Fit/Gap Analysis of M365 Records Center ((In Progress – CY21Q2)

2021 – Refinement and Expansion of data labeling based on file plan requirements (Planned CY21Q3)

2021 – Pilot configuration and testing M365 Records Center (Planned CY21Q4)

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated

records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
- No
- Do not

Please explain your response (include specific goals and example metrics): When funding has been allocated for digitization, we plan to digitize all documents to keep from needing to use outside storage facilities if at all possible.

NDU's objective is to capitalize on the resources offered within the M365 ecosystem. These resources are stored within the commercially provided environment.

8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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
- Do not know

Please explain your response (include specific details of policies and procedures): Outside of Briefing senior leaders on Records Management, ensuring their records are managed by a Trained records custodian while they are at NDU as well as when they depart, however, we do not have written guidance for senior level employees at this time.

9. Do you, as the SAORM, see challenges within your DoD Component 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

Do not know

Please explain your response (include details of specific challenges, if applicable): We plan to meet the goal of fully-electronic recordkeeping.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

Yes

No

Do not know

Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions): Although our Archivist, Rich Noble, is no longer with us, he was very instrumental in helping us, along with Mr. Avi Kaufman, in creating our #1300 academic series. We look forward to working with NARA on completing our #1400 research series in 2021. Additionally, interested in receiving guidance on managing records in the cloud going forward. Thank you.

APPENDIX D-3

UNITED STATES AFRICA COMMAND

*Senior Agency Official for Records Management
2020 Annual Report
DoD Component Input from **USAFRICOM***

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

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- Questions #4, #5, #6, #7, #8, and #10 require all DoD Components to provide a response.
- For Question #9, 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: [Daniel E. Sewell](#)
- Position title: [Command Records Manager](#)
- Address: [USAFRICOM, Stuttgart GE](#)

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

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

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

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

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

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

4. 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
 Do not know

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

USAFRICOM currently has little to no hard copy records – all permanent records are electronic and stored in an electronic medium.

5. Has your DoD Component made progress towards managing 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 and example metrics):

USAFRICOM is currently in the process of migrating to the M365 initiative.

6. Is your DoD Component investing resources in IT to support the transition to electronic recordkeeping?

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

- Yes

- No
- Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

USAFRICOM is currently investing in replacing IT equipment that will soon become obsolete. Furthermore, USAFRICOM is building a new Data Center on Kelley Barracks. Current time of completion is unknown.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
- No
- Do not know

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

At this time, USAFRICOM does not require a commercial storage facility to store records. All records are stored in a electronic medium.

8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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
- Do not know

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

All USAFRICOM positions for email capture are annotated and emails are automatically journeled and kept on the DISA servers.

9. Do you, as the SAORM, see challenges within your DoD Component 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
 Do not know

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

With the eventual implementation of M365, USAFRICOM should be able to meet the goal of being fully-electronic.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes
 No
 Do not know

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

Having recently been appointed as the USAFRICOM Records Manager. I am in the process of familiarizing myself with all aspects of my duties and where the program currently stands. As for today, I do not have any suggestions for NARA.

APPENDIX D-4

UNITED STATES CENTRAL COMMAND

*Senior Agency Official for Records Management
2020 Annual Report
DoD Component Input from 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
- Question #1, #2, and #3 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #4, #5, #6, #7, #8, and #10 require all DoD Components to provide a response.
- For Question #9, 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: Mr Patrick A. Rule
- Position title: Senior Records Analyst
- Address: 7115 South Boundary Blvd, MacDill Air Force Base, 33621

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

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

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

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

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

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

4. 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

Do not know

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

The U.S. Central Command (USCENTCOM) Records Management team (CCJ6-RDR) falls under the purview of the Command and Control, Communications , and Computers Systems Directorate (CCJ6) and direction of the CCJ6 Resources and Analysis Division (CCJ6-R) and the Command Records Branch (CCJ6-RD). Strategically positioned, the Command Records Management Section (CCJ6-RDR), ensures RM procedures are carried out according to Federal statutes and regulations. With CCJ6-RD oversight, CCJ6-RDR has authority for all facets of managing the USCENTCOM RM program. This includes overseeing management of all records within the Command, Service Component Commands (SCC), Combined Joint Task Forces (CJTF), and Security Cooperation Offices (SCOs).

The RM team, has implemented an enterprise wide end-of-year records call, which provides specific instructions for cataloguing and preserving all Permanent and Long-Term Temporary (7-10 years) records into Content Manager (CM) no later than the end of each calendar year.

A quarterly USCENTCOM Communications Tasking Order (CCTO) has been published to establish/enforce a quarterly requirement to gather and transfer Joint records created by CJTF's, SCC's, and subordinate functional components within the USCENTCOM AOR. To ensure for accurate collection of data, organizations are directed to capture records in their native format and any associated metadata by utilizing a command line interface, such as robocopy scripts.

5. Has your DoD Component made progress towards managing 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 and example metrics):

Response to question #4 applies to this question. In addition, due to the health protection measures implemented to mitigate the risk of transmission of the Novel Coronavirus disease, CCJ6-RDR was unable to conduct a physical annual Staff assistance Visits (SAV) to the command and JTFs. Therefore CCJ6-RDR validated the internal SAV completed by the Directorate Records Officer (DRO) as well as reviewing the directorate's program using virtual tools to include Microsoft Teams, Skype, Tree Size Pro, and Active Navigation.

6. Is your DoD Component investing resources in IT to support the transition to electronic recordkeeping?

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

- Yes
 No
 Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

USCENTCOM Regulation CCR 25-50 directs that Content Manager is the approved Electronic Records Management Application (ERMA). This system provides the capability of integrating ERMA with existing information systems and establishes a records and document management capability for HQ USCENTCOM.

USCENTCOM is currently seeking solutions to facilitate storage of our Electronically Stored Information (War Records), and to ensure the data is available throughout the USCENTCOM AOR as well as USCENTCOM Headquarters (HQ). The current project is seeking an enduring solution to ensure data is securely replicated, authenticated, and delivered to a data storage location within USCENTCOM thereby expediting the ingestion of data into the ERMA.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
- No
- Do not know

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

USCENTCOM does not have agency-operated records centers.

8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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
- Do not know

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

USCENTCOM Regulation CCR 25-50 directs the requirement to train Senior Officials/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 USCENOCM 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. 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.

9. Do you, as the SAORM, see challenges within your DoD Component 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
- Do not know

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

USCENTCOM has no concern. Please see response to #6.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes
- No
- Do not know

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

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 Leadership electronic mails (E-mails). Many of Combatant Commands are utilizing the Defense Information Systems Agency (DISA) to manage their E-mails and that process does not allow those organizations to immediately capture and preserve these E-mails into their Command ERMA, nor allow for proper searches for official requests (e.g., FOIA litigations, etc.).

USCENTCOM requests clearer guidance and direction on the capture and preservation of social media records and records managed in the cloud environment.

APPENDIX D-5

UNITED STATES CYBER COMMAND

*Senior Agency Official for Records Management
2020 Annual Report
DoD Component Input from **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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
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- Questions #4, #5, #6, #7, #8, and #10 require all DoD Components to provide a response.
- For Question #9, 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: Ms. Shannon R. Hueber
- Position title: Command Records Manager

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

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

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

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

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

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

4. 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
- Do not know

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

United States Cyber Command has purchased a software that will house all permanent and temporary records on all classified networks, including journaling emails. Metadata is automatically applied and additional data can manually inputted.

5. Has your DoD Component made progress towards managing 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 and example metrics):

Same answer as question 4.

6. Is your DoD Component investing resources in IT to support the transition to electronic recordkeeping?

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

- Yes

- No
- Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

There isn't much of a working relationship between USCYBERCOM IT and RM. The USCYBERCOM RM team worked with the NSA IT department to get our program up and running. We are slowly working with the USCYBERCOM IT department to assist.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
- No
- Do not know

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

United States Cyber Command is a fairly new Command and we don't have records that need to be retired, yet. We are hoping to be all electronic and only have paper records that belong to Essential Records. The records that are paper and not electronic we plan on digitizing.

8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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
- Do not know

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

We still have some documents to create, but we have an approved list of Capstone members, by NARA, as well as policies that outline senior officials roles and responsibilities. They are also added on the in and out processing checklist and will receive a briefing during their arrival and departure of the command.

9. Do you, as the SAORM, see challenges within your DoD Component 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
- Do not know

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

I would love to say that my answer for this would be no, but I honestly don't know. As of now, we are heading in the right direction, but we still struggle with support. If we continue to move at the pace we are, I feel we will be at least 75 % towards our goal.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes
- No
- Do not know

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

I feel like the Joint Staff RM team provides sufficient and up to date information to its Combatant Command Officer, so I am assuming that NARA is providing information accurately and in a timely manner to the SAORM.

APPENDIX D-6

UNITED STATES EUROPEAN COMMAND

**Senior Agency Official for Records Management
2020 Annual Report
DoD Component Input from < HQ 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
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- For Question #9, 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: Tymbika K. Mason
- Position title: Command Records Manager
- Address: HQ USEUCOM, Unit 30400, APO AE 09131

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

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

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

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

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

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

4. 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
- Do not know

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

The EUCOM Information Superiority Knowledge Management team is working with the J6 community and the EUCOM Records Management office to ensure all stakeholders have proper peripheral devices (scanners), Adobe licenses for all users to be able to package like records into .pdf format to upload into official records repository located on NARA's ARCIS database for permanent records retention and ensuring all personnel are trained in records management practices preserving permanent records. Future purchases of printing devices currently under review and legacy devices undergoing reallocation to DRMO to further save funding usually spent on printers, toner cartridges and paper.

5. Has your DoD Component made progress towards managing 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 and example metrics):

The EUCOM Information Superiority Knowledge Management team is working with the J6 community and the EUCOM Records Management office to ensure all stakeholders have proper peripheral devices (scanners), Adobe licenses for all users to be able to

package like records into .pdf format to upload into official records repository on EUCOM Portal site with Gimmel Records Management database for temporary records retention and ensuring all personnel are trained in records management practices in uploading records. Gimmel metadata tags are seamlessly added to each records upon upload into records repository.

6. Is your DoD Component investing resources in IT to support the transition to electronic recordkeeping?

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

- Yes
 No
 Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

The J6 noted the savings between printer purchase/upgrades/replacement, ink and toner cartridges. Funds previously earmarked towards technical refreshes of peripheral devices are now being reviewed for allocation towards electronic storage (cloud), scanners and software such as Gimmel and Adobe which have become an invaluable tool in transitioning to electronic only records format from hardcopy paper records.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
 No
 Do not know

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

At this time, it is not the intention to utilize commercial storage to replace agency operated records centers or NARA Federal Records Centers. This is due to the nature of the command being located outside of the contiguous United States (Stuttgart Germany).

8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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
- Do not know

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

A revision to include more specific wording is being included in the EUCOM ECI to ensure once published, all EUCOM personnel, specifically senior officials understand the need to ensure records of newly appointed and outgoing senior officials are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email. Moreover, the penalties for violating federal law will also be added to further drive home the severity of legal adherence. Training of all Directorate Records Officers and File Custodians has already begun in order to reinforce this requirement. Briefing senior leadership upon arrival is being added to in-processing briefers to ensure no one is neglected.

9. Do you, as the SAORM, see challenges within your DoD Component 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
- Do not know

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

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes
- No
- Do not know

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

APPENDIX D-7

UNITED STATES INDO-PACIFIC COMMAND

*Senior Agency Official for Records Management
2020 Annual Report
DoD Component Input from **U.S. 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
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- For Question #9, 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: **Margaret Nakamoto**
- Position title: **Chief, J667 Systems Integration Branch**
- Address: **US Indo-Pacific Command, Elrod Rd, Building 700 Rm 109, Camp H.M. Smith, HI 96861**

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

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

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

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

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

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

4. 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
- Do not know

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

USINDOPACOM has purchased AvePoint Records, Compliance Guardian, DocAve Core, and Office Connect software and implementation services to implement electronic records management on the SIPRNET; we expected it to be implemented by the end of FY2021.

However, in Sept. 2020 our Command Records Manager (CRM) left the position. USINDOPACOM has been trying to hire a replacement ever since.

5. Has your DoD Component made progress towards managing 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 and example metrics):

USINDOPACOM has purchased AvePoint Records, Compliance Guardian, DocAve Core, and Office Connect software and implementation services to implement electronic records management on the SIPRNET; we expected it to be implemented by the end of FY2021.

However, in Sept. 2020 our Command Records Manager (CRM) left the position. USINDOPACOM has been trying to hire a replacement ever since.

6. Is your DoD Component investing resources in IT to support the transition to electronic recordkeeping?

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

- Yes
 No
 Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.
See #4 and #5 above. INDOPACOM has purchased AvePoint software and contract services to implement the software. In addition, USINDOPACOM has also purchased additional share drive storage specifically for records storage. However, due to not having a CRM the software implementation may be delayed.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
 No
 Do not know

Please explain your response (include specific goals and example metrics):
INDOPACOM has no immediate plans to use commercial storage.

8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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
- Do not know

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

We do have policies in place. However, we need to conduct a review to ensure procedures are being followed. I am not the CRM, but in the past the executive assistant (or directorate front office) for each senior official was responsible for ensuring official records were captured and processed as required.

9. Do you, as the SAORM, see challenges within your DoD Component 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
- Do not know

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

A big challenge we have is getting the necessary resources to staff our records management program – both resources to maintain the program but also resources to implement and maintain the electronic records management software. For example, we purchased software that can automatically tag documents, but it requires a full records management taxonomy. We do not have resources to build and maintain the taxonomy so the software can effectively tag records.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes
- No
- Do not know

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

NARA should provide information on how each COCOM is doing electronic records management to help those that haven't implemented it yet.

APPENDIX D-8

UNITED STATES NORTHERN COMMAND

*Senior Agency Official for Records Management
2020 Annual Report
DoD Component Input from USNORTHCOM*

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.

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- Question #1, #2, and #3 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #4, #5, #6, #7, #8, and #10 require all DoD Components to provide a response.
- For Question #9, 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: Ms. Sandra McAfee-Symons
- Position title: Command Records Manager
- Address: 250 Vandenberg Street, Suite 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?

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

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

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

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

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

4. 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
- Do not know

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.

5. Has your DoD Component made progress towards managing all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)

- Yes
- No
- Do not know

Current Command policy states hard-copy records should be limited to short-term (6 months) or routine administrative (3 year) documents. Any hard-copy records must have the location for the record series listed on the file plan and will require manual disposition management.

Scanning temporary hard-copy records is encouraged but not required until it is a functional/operational record (7-10 year) or falls under the “Exceptions” category which would then be required to be posted to the Portal and subsequently sent to the Records Repository (electronic record keeping application).

6. Is your DoD Component investing resources in IT to support the transition to electronic

recordkeeping?

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

- Yes
- No
- Do not know

Yes – N&NC invests in a DOD 5015 compliant electronic records management system. However, as DOD moves to O365 the proposed solution is not compliant with DOD 5015, nor will it be enabled to allow for connection to N&NC current compliant electronic records management system. As N&NC is forced to move to O365, IT investment in on-premises systems may suffer.

- 7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)**

- Yes
- No
- Do not know

Not applicable as agency did not stand up until 2002 and majority of records are electronic.

- 8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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
- Do not know

Listing of senior leaders, by position and arrival/departure date, 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 a one-on-one 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 forecast/schedule the Senior Leader Exit brief. A Command senior level tasker is sent to the organization 60 days from projected departure date to 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 the brief and member certifying actions as being complete.

9. Do you, as the SAORM, see challenges within your DoD Component 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
- Do not know

No challenges

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes
- No
- Do not know

Records ownership. Recommend asking agencies' service providers how they manage record content residing on their network for non-agencies' members, and their processes in place to provide content to the owning agency. For example, DoD members who are assigned to other Federal agencies supported on non-DoD networks. There are instances when neither entity recognizes ownership of the records, and other instances where all entities claim ownership and responsibility for all of the records. Local policy is unenforceable outside of members' original agency. Possibly expand §1222.30 to include concerns.

APPENDIX D-9

UNITED STATES SOUTHERN COMMAND

*Senior Agency Official for Records Management
2020 Annual Report
DoD Component Input from < USSOUTHCOM >*

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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
- Question #1, #2, and #3 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #4, #5, #6, #7, #8, and #10 require all DoD Components to provide a response.
- For Question #9, 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: **Ms. Cambridge-Brown**
- Position title: **Command Records Officer**

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

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

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

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

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

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

4. 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

Do not know

Please explain your response (include specific goals and example metrics): The current Command Records Officer for SOUTHCOM has been in the position for 6 months and is currently building the Records Management Program from scratch. However, SOUTHCOM is transiting to M365 but the Security & Compliance Center licenses that would make Records Management easier is still pending.

5. Has your DoD Component made progress towards managing 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 and example metrics): The current Command Records Officer for SOUTHCOM has been in the position for 6 months and is currently building the Records Management Program from scratch, and is conducting records inventory for each of the offices. Additionally, according to the DoD JS CCMD's inspection dated 28 April 2020 it was annotated that RM programs for the CCMD are managed by one person with no other staff and little or no contingencies for when the Records Manager is on extended leave, deployed, or other circumstances where the position becomes vacant. Several of the CCMD Records Managers have been in the position for less

than two years filling positions that had been vacant for a while. All CCMD Records Managers, in these circumstances, reported that they could not find any program information from their predecessor and had to rebuild the RM program from scratch.

6. Is your DoD Component investing resources in IT to support the transition to electronic recordkeeping?

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

Yes

No

Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain. USSOUTHCOM is transitioning to M365, but the Security & Compliance Center licenses that would make Records Management easier is still pending.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

Yes

No

Do not know

Please explain your response (include specific goals and example metrics): USSOUTHCOM will be shipping boxes to NARA Federal Records Center. However, since some FRC's are completely closed, and other FRC's are not accepting paper record through the mail the only way for records to be delivered is by making appointment and delivering them in person. Unfortunately, there is no mention of budget or TDY.

8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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

Do not know

Please explain your response (include specific details of policies and procedures): The Command Records Officer has been in position for 6 months, and there was no continuity left from the predecessors. I've contacted the following offices (Commander's Action Group, JI, and Historian) to see if they have policies and procedures that include documentation to ensure records of newly appointed and outgoing senior officials are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email? Those offices are not aware of any policies and procedures.*

9. Do you, as the SAORM, see challenges within your DoD Component 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

Do not know

Please explain your response (include details of specific challenges, if applicable): The challenge is "Change."

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

Yes

No

Do not know

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

APPENDIX D-10

UNITED STATES SPACE COMMAND

*Senior Agency Official for Records Management
2020 Annual Report
DoD Component Input from United States Space 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
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- Questions #4, #5, #6, #7, #8, and #10 require all DoD Components to provide a response.
- For Question #9, 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: Lt Col Natalie M Mock
- Position title: Chief, Secretariat of the Joint Staff

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

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

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

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

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

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

4. 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 X
- No
- Do not know

Please explain your response (include specific goals and example metrics): Yes, in accordance with the Office of Management and Budget and the National Archives issued memorandum, Transition to Electronic Records (M-19-21), USSPACECOM is in the process of transitioning business processes and recordkeeping to a fully electronic environment, and the National Archives and Records Administration's (NARA) acceptance of paper records by December 31, 2022. Since the start of the command in August 2019, USSPACECOM has made significant strides on its path towards conditions-based Full Operational Capability (FOC). FOC centers on several key areas: personnel, infrastructure, support to the joint force and our nation, and the execution of our warfighting responsibilities as outlined in the Unified Campaign Plan. Adequate personnel and infrastructure are two critical and linked conditions and are directly linked to our Records Management program development. This effort is currently focused on growing our provisional headquarters at Peterson AFB, Colorado while we await a final permanent HQ basing decision from the Secretary of the Air Force. Currently we rely on Peterson AFB 21st Communication Squadron who backs up USSPACECOM Shared Drives as well as emails for long term storage. Duplicates of the backed up data are stored at an off-site facility for preservation. As we build our command, we are making progress towards managing all permanent records in an electronic format with appropriate metadata by December 31, 2022.

5. Has your DoD Component made progress towards managing all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)

- Yes X
- No

Do not know

Please explain your response (include specific goals and example metrics): Yes, Peterson AFB 21st Communication Squadron backs up USSPACECOM Shared Drives as well as emails for long term storage. USSPACECOM currently has a distributed footprint which offers both opportunities and challenges for Records Management though includes requiring a distributed architecture. This has focused the command on progress towards managing all temporary records in an electronic format by December 31, 2022 (M-19-21, 1.3). Also, we ensure all command personnel conduct annual training to inform all records management responsibilities in law, regulation, and policy, and provide training specific to the practices and policies of the organization. As we build this program, we are making progress towards managing all temporary records in an electronic format by December 31, 2022.

6. Is your DoD Component investing resources in IT to support the transition to electronic recordkeeping?

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

- Yes X
 No
 Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain. Yes, one of our commanders' five key task is "MAINTAINING DIGITAL SUPERIORITY." This includes: innovating for competitive advantage; evolving cyber operations for an agile & resilient posture; and investing in game-changing technologies. Standard practices like effective use of secure communications capabilities, being deliberate in our plans, and being methodical in our tasking and collaboration make us resilient against daily and contingency operations friction. In the end, we will continue to adapt and grow to meet mission requirements. USSPACECOM currently leverages the 21st Communication Squadron at Peterson AFB to manage data servers though we are considering cost-effective opportunities to transition related business processes to an electronic environment in support of the PMA and Reform Plan. Our CIO has led an effort for a contract award for USSPACECOM Enterprise Information Technology Management (EITSM) cloud-based platform solution provided by ServiceNow. This solution meets our service requirements to enable users to manage small and large scale projects teams and customer interactions for workflows. The platform includes a suite of software tools designed to manage IT services; IT Operations; IT Business; Human Resource Service Delivery; Customer Service Management; and Security Operations Management. Based on these efforts, our command is investing resources in IT to support the transition to electronic recordkeeping.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
- No
- Do not know X

Please explain your response (include specific goals and example metrics): By December 31, 2022, our intent is that all temporary records will be managed electronically. As a new CCMD in a provisional HQs and awaiting our final permanent HQ basing decision, we do not own any agency-operated records storage facilities. Peterson AFB 21st Communication Squadron backs up USSPACECOM Shared Drives as well as emails for long term storage. Duplicates of backed up data are currently stored at an off-site facility for preservation. The servers where our data is stored via our SharePoint portals is therefore maintained virtually by a server administration team. By December 31, 2022, our intent is that all temporary records will be managed electronically and we will meet the requirements of M-19-21, 1.3, related to records storage facilities.

8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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
- Do not know

Please explain your response (include specific details of policies and procedures): Our command intends to designate a Senior Agency Official for Records Management who has direct responsibility for ensuring that the command efficiently and appropriately complies with all applicable records management statutes, regulations, and policy. Our Command currently leverages the IntelShare environment which is managed by Intelink – this is where our SharePoint instance resides. We currently use this environment to manage documentation of newly appointed and outgoing senior officials. The servers where our data is stored via our SharePoint portals is therefore maintained virtually by a server administration team. At this time, our command is developing policies and procedures that include documentation to ensure records of newly appointed and outgoing senior officials are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email.

9. Do you, as the SAORM, see challenges within your DoD Component 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
- Do not know

Please explain your response (include details of specific challenges, if applicable): By December 31, 2022, our intent is to have all permanent electronic records managed electronically to the fullest extent possible for eventual transfer and accessioning by NARA in an electronic format. We also intend to designate an Agency Records Officer who is responsible for overseeing command recordkeeping requirements and operations, and holds the NARA Certificate of Federal Records Management Training. However, as the newest CCMD we are reliant on our current provisional HQs and local base services and manning. Unlike other CCMDs that are FOC, we do not currently own our own IT infrastructure to be able to tag, retain, and dispose of federal communications organically. Unlike other Commands who manage their own servers to include databases, we are not yet able to implement policy and parameters, for how the data is tagged, stored and later reported to NARA. Our Command currently leverages the IntelShare environment which is managed by Intelink and is where our SharePoint instance resides. The servers where our data is stored via our SharePoint portals is therefore maintained virtually by a server administration team. We have utilized this environment due to cost, lean staff, and convenience of utilizing a cloud environment, while building our command capabilities pending FOC and a permanent HQs. As the newest CCMD, we do have several challenges of electronic recordkeeping though also have many opportunities to build the program and policies from the ground up to meet this goal.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes
- No X
- Do not know

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

APPENDIX D-11

UNITED STATES SPECIAL OPERATIONS
COMMAND

*Senior Agency Official for Records Management
2020 Annual Report
DoD Component Input from 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
- Question #1, #2, and #3 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #4, #5, #6, #7, #8, and #10 require all DoD Components to provide a response.
- For Question #9, 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: Mr. Edgardo M. Guzman
- Position title: Command Records Manager (CRM)
- Address: 7701 Tampa Point Blvd., MacDill Air Force Base, FL 33621

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

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

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

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

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

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

4. 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
- Do not know

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

The U.S. Special Operations Command (USSOCOM) Records Management (RM) team is uniquely positioned within the Chief of Staff and Command Support (SOCS) Directorate, which affords the RM team the ability to support every office of record throughout the enterprise. The position ensures that we have visibility on the implementation of new systems and processes within the Headquarters (HQ), Components, Theater Special Operations Commands (TSOCs), and Joint Task Forces (JTF) that will affect RM at any level.

The RM team, SOCS-Knowledge Management, is implementing an enterprise wide end-of-year records call, which provides specific instructions for cataloguing and preserving all Permanent and Long Term Temporary (7-10 years) records. Additional guidance includes instructions to catalogue these records into Content Manager (CM) no later than the end of each calendar year.

The USSOCOM RM Team has implemented several plans to ensure that all Permanent Electronic Records are managed electronically. This includes but is not limited to publishing a list of record types assessed to have permanent historical value. Additionally USSOCOM Directive 25-51 (D 25-51), Records Management Program, directs that when preserving, transferring or exporting records to HQ USSOCOM, the following metadata is required. This maintains provenance and/or incorporates a location's taxonomy.

- (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. Has your DoD Component made progress towards managing 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 and example metrics):

Response provided for question #4 applies to this question.

6. Is your DoD Component investing resources in IT to support the transition to electronic recordkeeping?

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

- Yes
- No
- Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

USSOCOM D 25-51 directs that all Directorates/Centers/Special Security Office, Components, TSOCs, and JTFs will archive electronic records within the USSOCOM approved Electronic Records Management Application (ERMA), Micro Focus CM. This system provides the capability of integrating ERMA with existing information systems and establishes a records and document management capability for HQ USSOCOM (e.g., cradle to grave life cycle of a document/record). The Command Records Manager (CRM) provides ERMA training on a bi-weekly basis and/or as requested, and assesses each offices use of CM. This validates that all Long Term Temporary and Permanent Records are being captured into the ERMA.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
- No
- Do not know

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

USSOCOM does not have physical records that require storage in a records storage facility.

8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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
 Do not know

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

The requirement to advise, train, and/or brief Senior Officials/Senior Leaders is directed in USSOCOM D 25-51. The CRM oversees this training program for USSOCOM General Officers, Flag Officers, and Senior Executive Service personnel. This program includes ensuring that all Senior Officials/Senior Leaders receive a briefing of their RM responsibilities within the first 30 days of assumption of duties and out-briefings to ensure capture of the records generated during their tenure. This ensures that leaders at each level of management are informed of their legal responsibility in establishing and overseeing their RM program within their specific office.

Once the Senior Official/Senior Leader briefing is completed, each individual provides a signed memorandum for record acknowledging their RM responsibilities.

9. Do you, as the SAORM, see challenges within your DoD Component 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
 Do not know

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

No response.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes
- No
- Do not know

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

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 Leadership electronic mails (E-mails). Many of Combatant Commands are utilizing the Defense Information Systems Agency (DISA) to manage their E-mails and that process does not allow those organizations to immediately capture and preserve these E-mails into their Command ERMA, nor allow for proper searches for FOIA and/or litigation requests.

Additionally, USSOCOM requests clearer guidance and direction on the capture and preservation of social media records and records managed in the cloud environment.

APPENDIX D-12

UNITED STATES STRATEGIC COMMAND

*Senior Agency Official for Records Management
2020 Annual Report*

DoD Component Input from *United States Strategic Command (USSTRATCOM)*

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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
- Question #1, #2, and #3 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #4, #5, #6, #7, #8, and #10 require all DoD Components to provide a response.
- For Question #9, 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: Mr. Charles Yasik, GS-11, DAFC
- Position title: Command Records Manager
- Address: USSTRATCOM/J010, 900 SAC Blvd., STE N3.101, Offutt AFB, NE 68113

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

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

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

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

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

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

4. 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

Do not know

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

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, we're 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 the 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) 930-10 regarding "Records Management Program".

5. Has your DoD Component made progress towards managing 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 and example metrics): Answer to this question is similar to Question 4 of this SAORM Report; however, to evaluate our progress at USSTRATCOM, an internal Staff Assistant Visit (SAV) will be performed by the Command Records Manager (CRM) in March-June 2021 timeframe to ensure compliance of M-19-21 is being executed; in preparation for the CRM SAV, the Directorate Records Officers (DROs) will perform an internal SAV to their Division File Custodians (FCs) in September-November 2020 timeframe. **Note:** Last CRM SAV was performed in 2019; RM SAVs are performed every 2 years. USSTRATCOM's Policy requires all records to be created 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 (MFCM), by dragging and dropping them into their electronic file plan. Each Quarter, FCs provide a status report to their DRO; the DRO monitors the progress that their Directorate is making, with CRM oversight, to ensure all temporary, and permanent, hard copy records are converted (scanned) as a ".pdf" and placed 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.*

6. Is your DoD Component investing resources in IT to support the transition to electronic recordkeeping?

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

Yes

No

Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain. USSTRATCOM invested in Hewlett Packard Total Records Information Management (HP TRIM) application for its Electronic Records Management (ERM) since 2008; the current ERM is an upgraded version of HP TRIM known as Micro Focus Content Manager (MFCM). MFCM is Cloud capable for USSTRATCOM's transition to O365 on both NIPR/SIPR enclaves. Although MFCM is a valuable tool for record keeping and performing searches, there's still the need for a better tool to filter e-mails for eDiscovery, FOIA, and dispositioning permanent e-mails to NARA; plus, there's no ERM for TS enclaves.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
 No
 Do not know

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 JI 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 25 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.

8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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
 Do not know

Please explain your response (include specific details of policies and procedures): Senior officials receive a tri-fold handout of 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/e-mail 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.

9. Do you, as the SAORM, see challenges within your DoD Component 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

Do not know

Please explain your response (include details of specific challenges, if applicable): Although USSTRATCOM is fully-electronic with its Records Management (RM) Program and processes, the constant challenge is oversight of ensuring Command compliance. As Command Records Manager and being one-man deep, besides 1-FTE for Tech Admin Support, having to heavily rely on personnel assigned the additional duties in RM roles as either Directorate Records Officer (DRO) and/or File Custodian (FC) has proven to be one of the biggest challenges of RM compliance throughout USSTRATCOM. 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.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

Yes

No

Do not know

Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions): As the Command Records Manager, although USSTRATCOM has become fully electronic for recordkeeping, I'd like to know if NARA could provide easy step-by-step guidance on how best to submit permanent electronic e-mails to NARA upon meeting their disposition.

APPENDIX D-13

UNITED STATES TRANSPORTATION
COMMAND

*Senior Agency Official for Records Management
2020 Annual Report
DoD Component Input from **USTRANSCOM***

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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
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- For Question #9, 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: Patricia M. Feist
- Position title: Command Records Manager
- Address: 508 Scott Drive Scott AFB, IL 62225

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

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

N/A

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

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

N/A

3. **Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)**

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

N/A

4. **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
 Do not know

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

Efforts to inform USTRANSCOM personnel of the mandate to save records in electronic format are ongoing. However, the process of converting permanent paper records to electronic format have been hampered by the current safety procedures in place to prevent the spread of COVID. USTRANSCOM's goal is to locate, identify and eventually digitize the permanent records. This has been added to the Inspector General inspection plan to verify the records.

5. **Has your DoD Component made progress towards managing 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 and example metrics):

Due to current culture of telework and minimum onsite contact, USTRANSCOM has found it essential to work with electronic records. Saving records electronically allows the information to be available to everyone and at the time it is needed. A SharePoint electronic file cabinet has been created for USTRANSCOM records while awaiting the deployment of new records tools Content Manager, Control Point and Structured Data Manager.

6. Is your DoD Component investing resources in IT to support the transition to electronic recordkeeping?

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

Yes

No

Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

USTRANSCOM invested in IT tools to assist with electronic records keeping and help eliminate the landfill of stored materials. As part of USTRANSCOM overall Records Management strategy, three new tools are being deployed. The first tool is Content Manager which will serve as the core repository tool with extensive search capability, the system will have required metadata. The second tool is Control Point, which is an artificial intelligence system that will search shared drives, SharePoint and other systems for unstructured data similar to records already stored in Content Manager. The last tool is Structured Data Manager, which is also an artificial intelligence system that will gather records for legacy systems that have reached the end of their lifecycle.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

Yes

No

Do not know

USTRANSCOM does not own the installation storage facility, the 375th Communications Squadron owns and operates the Scott AFB staging facility. USTRANSCOM has no plans at this time to use a commercial storage facility.

8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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

Do not know

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

USTRANSCOM published a Senior Leaders tri-fold that is given to all new senior leaders and available to others upon request. USTCI 5702.01, Policy for Records Management, enclosure C lays out the procedures for departing members and records. All records on USTRANSCOM and Department of Defense systems created by USTRANSCOM employees belong to USTRANSCOM. Procedures are in place for all members departing USTRANSCOM.

9. Do you, as the SAORM, see challenges within your DoD Component 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

Do not know

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

N/A

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

Yes

No

Do not know

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

USTRANSCOM is currently scheduled to be migrated to DoD O365 in March 2021; however, a DOD compliant records management solution is not being incorporated, nor will connections to a DOD compliant records management solution be enabled in the DoD O365 environment. Unless a DoD 5015.02-STD, Electronic Records Management Software Applications Design Criteria Standard, records management solution is provided in DoD O365 CCMDs would have to continue to manage records properly with a non-compliant system or another program, paying for two systems. Will DOD policies/standards be changed to allow for use of this system?

APPENDIX E

OFFICE OF THE SECRETARY OF DEFENSE
COMPONENT SAORM REPORT

*Senior Agency Official for Records Management
2020 Annual Report
DoD Component Input from **OSD Records and Information Management Program***

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

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- For Question #9, 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: Luz D. Ortiz
- Position title: OSD Record Administrator
- Address: OSD Records and Information Management (RIM) Program
Office of the Secretary of Defense,
Washington Headquarters Services, Records and Declassification
Division (RDD)
4800 Mark Center Drive, Suite 02F09-02
Alexandria, VA

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

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

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

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

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

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

4. 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

Do not know

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

The program issued a data call to identify and transfer/accession permanent and long term temporary records to NARA facilities by 31 Dec2022, enabling components and the OSD RIM Program to assess the volume and scope of eligible records within their offices that require accession or transfer to NARA in preparation for the transition to an electronic records environment. The OSD RIM Program will continue to leverage the OSD Executive Archive (EA) repository as a resource to the OSD Components for non-current records. In order to fully develop this repository, the program intends to develop specific policies and procedures for the transfer and storage of records into the archive by OSD components, as well as garner OSD leadership support for enforcement of the new procedures. The OSD RIM Program will also rely on the implementation of the Defense Enterprise Office Solution (DEOS) whose requirements may provide some records management functionality and has metadata requirements for e-discovery that is stated to support RM.

5. Has your DoD Component made progress towards managing 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 and example metrics):

In addition to the data call mentioned above, which includes categories for temporary records and ascertainment of their scope and volume for compliance planning purposes. The OSD RIM Program provides training, guidance, and oversight. Many offices are using shared drives and/or share point sites until they are transitioned to the DEOS platform, which may provide improved capabilities to manage records and information. The OSD RIM Program also provides further trainings on records management processes and procedures, in addition to continual office evaluations to enforce proper conduct of electronic records management practices and eliminate duo-recordkeeping systems.

6. Is your DoD Component investing resources in IT to support the transition to electronic recordkeeping?

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

- Yes
- No
- Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

The majority of OSD is supported by the Joint Service Provider (JSP), which became a reporting directorate of DISA in October 2017. The OSD SAORM attempted to POM for resources in FY 2022 to develop and implement an electronic solution for the management of electronic records; however, the request was declined in favor of DoD CIO, Defense Information Systems Agency (DISA), and the former OCM developing a compliant solution for all stakeholders. The OSD RIM Program staff are not privy or aware of any discussions between the DoD CIO, DISA/JSP, and the former OCMO in regards to planning or strategy efforts related to the Department's transition to an electronic records management environment. A thorough analysis of the DoD Digital Modernization Strategy has led the OSD RIM Program to opine the strategy does not adequately address major transformative efforts required to modernize DoD records management processes and procedures or address the infrastructure required to ensure proper records management compliance in a digital environment. With the implementation of DEOS there is concern about the solution and the additional resources (specifically IT) required to provide usable RM functionality to OSD.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
- No
- Do not know

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

OSD does not maintain “agency operated records facilities” nor have any plans to implement commercial storage.

8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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
- Do not know

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

The OSD Records Administrator develops RM policy, procedural guidance, and oversees implementation of RM requirements and operations throughout all OSD Components (in addition to supported Defense Agencies and Field Activities). Within OSD, our Component Records Management Officers (CRMO) community provide in-briefings for new senior officials. The OSD Records Administrator provides out-going briefs as part of the transition to departing personnel and will brief incoming personnel upon request of the official, their staff or the CRMO. OSD RIM Program policies and procedures for all Senior Officials are codified in enclosures 2-6 of Administrative Instruction 15. Additionally, we also provide read-head’s, brochures, and other materials to military assistants, Chiefs of Staff, and OSD CRMOs which are posted to our SharePoint Portal.

9. Do you, as the SAORM, see challenges within your DoD Component 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

Do not know

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

There are several challenges across the OSD for meeting the goal of fully-electronic recordkeeping. Most prominently, the OSD RIM program has limited resources and budget to properly execute records management programs and meet the goals of the OMB/NARA M-19-21. Many OSD Components do not have employees dedicated solely to records management duties and are assigned other principle duties, relying heavily of the expertise of the OSD RIM Program to provide support.

Generally, digitization programs for analog records within OSD lack priority, are not properly resourced or funded, and lack enforcement mandates required to undertake major digitization efforts for OSD's vast record collections to meet the mandates prescribed in the NDAA, Federal Records Act, OMB/NARA Directive M-19-21, and the pending NARA ruleset for the conversion of permanent analog records. This problem is exacerbated by 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 costly add-on processes are necessary to achieve compliance. 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.

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. Paper is preferred by many in the conduct of business, i.e. for training, reviewing documents/drafts, etc. - this is a behavior/business process that is exacerbated in classified work areas and certain administrative and legal offices. OSD Components use multiple paper-based legacy processes that do not yet have an electronic equivalent, such as declassification. Due to competing resource priorities, offices will need to consider a return on investment for the conversion of larger collections of temporary analog records versus the conversion of permanent analog records.

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.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

Yes

No

Do not know

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

Recommend that the Chief Records Officer meet with DoD SAORM and DoD Federal Records Officer (FRO) community. There are six SAORMs within DoD (each Military Department, the Chairman of the Joint Chief of Staff, and OSD) along with DoD CIO as the DoD SAORM; each with compliance issues specific to their components. Group settings with 50-100 other federal agency SAORMs do not allow for DoD SAORMs and Records Officers the opportunity to engage with or notify NARA of specific issues in the areas of information management, RM compliance, budgeting, IT-infrastructure requirements, and declassification or related fields such as cyber security, information security or risk management.

APPENDIX F

INDEPENDENT AGENCY INPUT TO DOD
SAORM REPORT

APPENDIX F-1

ARMY AIR FORCE EXCHANGE SERVICES

*Senior Agency Official for Records Management
2020 Annual Report
DoD Component Input from Army and Air Force Exchange 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
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- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- Shanna Jones
- Records Management Officer
- 3911 S. Walton Walker Blvd

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

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

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

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

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

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

***AAFES Records Management program was repositioned to the Information Technology-Governance and Information Assurance department in October 2020. This realignment better positioned records management to meet the goals of transition to an electronic government.*

4. 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
- Do not know

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 July 2021 to digitize paper permanent records for eventual transfer to NARA.

5. Has your DoD Component made progress towards managing 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 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.

6. Is your DoD Component investing resources in IT to support the transition to electronic recordkeeping?

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

- Yes
- No
- Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

An entire IT-Development team has been established to implement a new records management application that will support our electronic records management initiatives. In addition to IT resources project management, business analysts, record owners, security, policy, and contracting resources have been assigned to support the transition to electronic recordkeeping.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
- No
- Do not know

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

AAFES creates and maintains a minimal amount of paper records at this time, the goal is to digitize any remaining paper-based records, eliminating the need for offsite records storage.

8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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
- Do not know

Please explain your response (include specific details of policies and 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.

9. Do you, as the SAORM, see challenges within your DoD Component 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
- Do not know

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.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes

No

Do not know

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

APPENDIX F-2

DEFENSE COMMISSARY AGENCY

*Senior Agency Official for Records Management
2020 Annual Report
DoD Component Input from 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
- Question #1, #2, and #3 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #4, #5, #6, #7, #8, and #10 require all DoD Components to provide a response.
- For Question #9, 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?

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

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

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

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

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

4. 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
- Do not know

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

The Defense Commissary Agency (DeCA) is making progress towards managing all permanent records in an electronic format. Permanent records are being stored electronically using SharePoint and Share Drives, and DeCA's Records Management Application (RMA). Adjustments will be made to the metadata and implemented before the December 31, 2022 mandate.

5. Has your DoD Component made progress towards managing 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 and example metrics):

DeCA purchased a RMA to comply with the M-19-21 requirements to aid in the transition to electronic records by December 31, 2022. The application has been deployed to all 236 stores.

6. Is your DoD Component investing resources in IT to support the transition to electronic recordkeeping?

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

- Yes
- No
- Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

DeCA has invested in contract support for the last two years to refresh its RMA. The upgraded system is designed to meet M-19-21 requirements to include managing email Capstone accounts, email temporary and permanent records, non-email permanent records, and temporary records in electronic format.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
- No
- Do not know

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

DeCA does not have any Operating Records Centers. Records Centers, in accordance with (IAW) 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 and Agency Records Holding Area (RHA) to NARA by the 12/31/2022 mandate. Additionally, other options are being considered since during this reporting period most NARA Federal Records Centers were closed and not available to accept Agency transfers due to the COVID-19. Other options being considered include transferring records to Iron Mountain, requesting a waiver to maintain the remaining paper records until their expiration date, or scanning records in-house.

8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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
- Do not know

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

Yes, newly appointed officials are required to take the mandatory Records Management Training within the first 45 days of onboarding. 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 IAW GRS-6.1 item 010.

9. Do you, as the SAORM, see challenges within your DoD Component 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
- Do not know

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

- COVID-19 and closure of Federal Records Centers (FRCs) makes it beyond DeCA's Control to eliminate existing paper records via transfer to FRCs by the mandate.
- Additional personnel are needed to transfer existing records to NARA Federal Records Centers or scan records
- Additional digital storage is needed to sustain storage for email and other electronic records
- Case Manager software application is needed to add efficiency to manage case files
- Business Process Flow application is needed to add efficiency to document management
- Update GRS

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes
- No
- Do not know

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

Yes, policy related to M-19-21 mandates, specifically waivers for paper records. Records Officers have been informed that waivers will only be authorized for those who can provide a supporting statute or executive order stating that paper records must be maintained because certain electronic records are not admissible in court. It would be helpful if this information was spelled out in the NARA policy to share with Agency leaders.

APPENDIX F-3

DEFENSE CONTRACT AUDIT AGENCY

*Senior Agency Official for Records Management
2020 Annual Report
DoD Component Input from Defense Contract Audit Agency (DCAA)*

DoD Component Point of Contact: Greg Sullivan

Position Title: Records Manager

Address: 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?**

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

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

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

- 3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)**

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

- 4. 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 to some extent
 No
 Do not know

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

DCAA's permanent electronic records are managed in "Livelihood," DCAA's Electronic Records Management Application and Enterprise Content Management System. However, "Livelihood" is not currently capable of automatically capturing permanent email records. DCAA

*Senior Agency Official for Records Management
2020 Annual Report*

DoD Component Input from Defense Contract Audit Agency (DCAA)

has proposed a MilCloud migration plan to capture and preserve permanent email records. This project, however, is delayed until DoD develops an Enterprise Content Management solution.

5. Has your DoD Component made progress towards managing 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 and example metrics):

DCAA's temporary records are being managed electronically in "Livelink." Several Field Audit Offices (FAOs) still maintain Contract Audit Assignment/Case Files in paper and other physical forms (Pre-2009), which may need to be retained beyond 2022. The DCAA 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 an FRC; or, (4) convert the records to digital format so they can be managed electronically.

6. Is your DoD Component investing resources in IT to support the transition to electronic recordkeeping?

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

- Yes
 No
 Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

DCAA is depending on the DoD Defense Enterprise Office Solution (DEOS) and Defense Information System Agency (DISA), 4th Estate cloud migration effort to implement an email management solution. The project is not expected to begin until the 2nd quarter of FY 2023.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
 No
 Do not know

*Senior Agency Official for Records Management
2020 Annual Report*

DoD Component Input from Defense Contract Audit Agency (DCAA)

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

DCAA does not plan to use commercial record storage facilities. Existing physical records will be transferred to a Federal Records Center prior to December 31, 2022, or converted to digital format, if they need to be retained beyond 2022.

8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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
 Do not know

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

DCAA Records Management requirements have been added to the agency's onboarding/exit process. Exit procedures require departing staff members to receive a records management exit briefing prior to departing the agency; however, the Records Manager is not always informed when this takes place.

9. Do you, as the SAORM, see challenges within your DoD Component 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
 Do not know

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

DCAA will not be able to meet this requirement without additional DoD support, particularly in implementing an email retention/management solution.

*Senior Agency Official for Records Management
2020 Annual Report*

DoD Component Input from Defense Contract Audit Agency (DCAA)

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes
- No
- Do not know

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

APPENDIX F-4

DEFENSE CONTRACT MANAGEMENT
AGENCY

*Senior Agency Official for Records Management
2020 Annual Report*

DoD Component Input from < Defense Contract Management Agency (DCMA)>

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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
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- For Question #9, 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 39801

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

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

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

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

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

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

4. 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
 Do not know

Please explain your response (include specific goals and example metrics): DCMA continues to inventory and identify Agency records that are permanent; working with IT in developing standardized metadata requirements for permanent records for use Agency-wide use.

5. Has your DoD Component made progress towards managing 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 and example metrics): DCMA continues to inventory and identify Agency records that are temporary; working with IT in developing standardized metadata requirements for temporary records for use Agency-wide. Have identified offices that previously transferred numerous hardcopy temporary records with long term retention to NARA FRC's to communicate the requirements of NARA OMB M-19-21.

6. Is your DoD Component investing resources in IT to support the transition to electronic recordkeeping?

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

- Yes
 No
 Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain. As part of the Agency's Information Technology (IT) Modernization and Analytics Initiative (MAI), DCMA has procured a new SaaS - Salesforce "Box" that will be used with Gimmal RM as the platform for the Agency's new records management application (RMA) and is compliant with NARA Electronic Records Management (ERM) requirements.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
 No
 Do not know

Please explain your response (include specific goals and example metrics): DCMA has no plans to use commercial storage facilities. DCMA has and continues to use NARA Federal Records Centers to store long term temporary records and permanent records.

8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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
 Do not know

Please explain your response (include specific details of policies and procedures): DCMA has recently re-written and updated the Agency's RIM policy issuance and procedures. It included requirements and procedures for incorporating records management requirements

in the on-boarding/out-processing of all Agency employees. Checklist specific to Agency Employees and Senior Agency Officials have been developed and implemented in the process. RIM Training has been developed and deployed as mandatory for all Agency personnel on their RIM responsibilities.

9. Do you, as the SAORM, see challenges within your DoD Component 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
- Do not know

Please explain your response (include details of specific challenges, if applicable): As the Agency's Records Officer, the major challenge for DCMA is the lack of personnel resources that are fully dedicated to the RIM Program. At present, there is only one FTE dedicated to the program of an Agency that has more than 10,000+ employees; and one contractor that works in IT that provides assistance with the current RMA.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes
- No
- Do not know

Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions): In reference to Section 2 of OMB Memorandum 19-21-M, guidance needed to be more timely to support Agencies transition to electronic recordkeeping.

APPENDIX F-5

DEFENSE COUNTERINTELLIGENCE AND
SECURITY AGENCY

*Senior Agency Official for Records Management
2020 Annual Report*

DoD Component Input from *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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
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- For Question #9, 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?

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

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

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

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

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

4. 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

Do not know

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

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 1.2 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 when there are records due for transfer.

5. Has your DoD Component made progress towards managing 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 and example metrics):

The majority of DCSA's temporary records are managed electronically. The agency is in the process of implementing an electronic records management application (eRMA). Once fully implemented, the eRMA will enable improved management of temporary electronic records throughout their lifecycle.

6. Is your DoD Component investing resources in IT to support the transition to electronic recordkeeping?

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

- Yes
 No
 Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

The Agency Records Officer is working with the DCSA Chief Information Officer to implement an enterprise eRMA solution. Resources and necessary personnel have been provided to support this effort.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
 No
 Do not know

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

Not applicable, as DCSA does not operate any agency records storage centers.

8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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
 Do not know

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

DCSA is drafting internal guidance, pending receipt of overarching DoD procedural requirements.

9. Do you, as the SAORM, see challenges within your DoD Component 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
- Do not know

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

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes
- No
- Do not know

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

APPENDIX F-6

DEFENSE FINANCE AND ACCOUNTING
SERVICE

*Senior Agency Official for Records Management
2020 Annual Report*
DoD Component Input from < Defense Finance and Accounting Service (DFAS)>

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
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- Questions #4, #5, #6, #7, #8, and #10 require all DoD Components to provide a response.
- For Question #9, 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: Ralph E. Mullins
- Position title: Agency Records Program Manager
- Address: 8899 E. 56th St, ATTN: PCRE, Indianapolis, IN 46249

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

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

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

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

3. **Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)**

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

4. **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

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

DFAS is working to store all permanent records in the PDF format and to ensure the records are safeguarded to preserve altering. Metadata is ensured to ease the retrieval process. Procedures throughout DFAS ensure all offices are tracking permanent by annual file plans and coordinate electronic storage.

5. **Has your DoD Component made progress towards managing all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

X Yes

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

DFAS management has ensured that all offices are developing methods and procedures to store all temporary records in electronic format. The reduction of paper records being transferred are being monitored by records management staff. All requests to transfer paper records are being scrutinized by office management and procedures developed to eliminate further transfers.

6. Is your DoD Component investing resources in IT to support the transition to electronic recordkeeping?

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

X Yes

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

DFAS Information and Technology (I&T) ensures that records management is a part of all electronic system changes and development. Records management reviews all changes in systems to ensure emphasis on records management requirements.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

X No

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

DFAS has procedures in-place to ensure no paper (temporary) records will be transferred after September 2022. This will ensure that commercial storage facilities will not be required. Electronic storage is mandated by all offices and all issues are being corrected to eliminate paper records.

8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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

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

DFAS has placed information into the In and Out Processing checklists that ensures the senior officials are informed about records management safeguards and storage. The information contains processes to ensure authorization is given before records are removed from DFAS control.

9. Do you, as the SAORM, see challenges within your DoD Component 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):

DFAS coordinates with I&T to ensure all issues are resolved. Fully electronic recordkeeping will be developed in new system changes.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

No

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

APPENDIX F-7

DEFENSE INFORMATION SYSTEMS AGENCY

*Senior Agency Official for Records Management
2020 Annual Report
DoD Component Input from Defense Information Systems Agency (DISA) /Joint
Force Headquarters DODIN (JFHQ-DoDIN)*

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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
- Question #1, #2, and #3 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #4, #5, #6, #7, #8, and #10 require all DoD Components to provide a response.
- For Question #9, 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: Shannon S. Lawrence
- Position title: Agency Records Officer
- Address: P.O. Box 549 Fort Meade, MD 20755-0549

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

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

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

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

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

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

4. 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
- Do not know

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

Progress to achieve this action is moving forward. As of late 2020, the DISA RM team has developed a draft policy using existing NARA protocols to provide guidance to the workforce on the metadata policies. In addition, as the result of a NARA lead inspection in November 2019, DISA is taking actions to ensure the Agency's permanent records are all properly accounted for. Estimated publication date for the policy is 3rd quarter FY21. Assessment of permanent records is ongoing as new retention schedules are identified and disposition is negotiated/approved with NARA.

5. Has your DoD Component made progress towards managing 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 and example metrics):

DISA has made partial progress to include the automation included in DoD365. DISA recently migrated to the DoD365 tenant, which utilizes cloud/online storage. DoD365 is a Fourth Estate-

wide enterprise solution for communication, collaboration and productivity that includes system-wide records management capabilities. DoD365 will allow the Agency the ability to take advantage of RM functionalities by applying automatic application of retention labels to create and manage records deployed within the DoD365 environment. The tenant has capability to manage the records by “applying retention policies automatically based on specific conditions (e.g. keywords or sensitive information)” and “applying retention policies based on an event”; ensuring the appropriate disposition of temporary records.

In addition, DISA is participating in a DEOS RM Tiger Team lead by DoD CIO, contributing to discussions regarding automation of a tenant-wide disposition schedule for federal records common to all services/other agencies in the tenant.

DISA will leverage the management of electronic records, as appropriate, in OneDrive (within DoD365) by moving all documents, including records, from hard drives, shared drives, SharePoint, and milDrive to OneDrive. This consolidation will assist with the organization’s management of all electronic records.

For temporary records retained outside of DoD365, the process to evaluate records inventory and identify unscheduled records and unscheduled EIS is ongoing. Continued identification of records will allow the appropriate disposition authorities to be approved and implemented.

6. Is your DoD Component investing resources in IT to support the transition to electronic recordkeeping?

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

- Yes
- No
- Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

DISA is investing resources to support IT. DoD365 allows for automatic application of retention policies based on specific conditions, sensitive information, or events. DISA intends to procure the E3 license with advanced compliance. Procuring this higher license level will better equip the Agency towards the transition to all electronic records.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
- No
- Do not know

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). No plan for commercial storage is required.

8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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
- Do not know

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

As the result of a November 2019 NARA inspection, DISA has drafted comprehensive guidance to address shortfalls in our RM procedures. The policy will include processes and procedures to address the handling of records for newly appointed and outgoing senior officials.

9. Do you, as the SAORM, see challenges within your DoD Component 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
- Do not know

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

No input at this time.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes
- No
- Do not know

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

No input at this time.

APPENDIX F-8

DEFENSE LOGISTICS AGENCY

*Senior Agency Official for Records Management
2020 Annual Report
DoD Component Input from < 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
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- For Question #9, 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: Cecilia Wiker
- Position title: Agency Records Officer
- Address: 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?

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

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

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

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

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

4. 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
- Do not know

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

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

5. Has your DoD Component made progress towards managing 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 and example metrics):

- DLA is progressing towards managing the majority of its short-term temporary records in electronic format
- 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 and the RIM program is working to coordinate with these offices on a transition plan.

6. Is your DoD Component investing resources in IT to support the transition to electronic recordkeeping?

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

- Yes
 No
 Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

- In 2020 the RIM program submitted a Business Case Analysis (BCA) for File Analysis Software which was initially approved and then it was pushed back to find funding internally.
- Currently researching additional types of software (File analysis, Records Management in Place, etc.) for submission and consideration.
- Potential in place tool/resource for assisting in the transition is CBEDS for scanning physical documents and coordination is ongoing.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
 No
 Do not know

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

- RIM is currently conducting market research on commercial facilities and processes to ensure there will be no continuity loss of records that are identified as being required to be maintained in paper
- We are validating with stakeholders, and if required, General Counsel to determine if statute or regulations require physical copies.

8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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
- Do not know

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

- This is included in DLA RIM policy and procedures and included in annual LMS RIM training.
- DLA RIM program get monthly updates on departing/arriving senior officials and we validate with the offices to ensure that their records and information are properly preserved.

9. Do you, as the SAORM, see challenges within your DoD Component 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
- Do not know

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

- Lack of Department funding for automation to assist in the management of electronic records negatively impacts Components from being able to implement tools (i.e., file analysis, RMAs, auto-categorization, etc...) to ensure records are properly categorized, searchable, retrievable and dispositioned in accordance with RIM policy.
- Broader support from the Agency business and program offices is needed to implement metadata, naming conventions, and prescribing records to ensure only required records and information are maintained.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes

- No
- Do not know

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

- Update their website with only current guidance. There is too much outdated information and focus on physical records.
- Provide information on the transfer of electronic permanent records to NARA to include File Transfer Protocols or other relevant guidance.
- Update RIM regulations prior to implementing mandates. Currently mandates are issued but guidance comes much slower.

APPENDIX F-9

DEFENSE TECHNICAL INFORMATION
CENTER

**Senior Agency Official for Records Management
2020 Annual Report
DoD Component Input from Defense Technical Information Center**

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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
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- For Question #9, 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: Yvette Jacks
- Position title: Deputy Director, Chief Information Officer, Defense Technical Information Center
- 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?

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

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

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

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

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

4. 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
- Do not know

Please explain your response (include specific goals and example metrics): NARA approved DTIC's permanent records schedule DAA-0569-2018-0010 – circa December 2020 is correctly managed through the Electronic Record Archive (ERA) of NARA.

5. Has your DoD Component made progress towards managing 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 and example metrics): In late 2019 DTIC released updated records management policy guidance inclusive of electronic records management.

6. Is your DoD Component investing resources in IT to support the transition to electronic recordkeeping?

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

- Yes
- No
- Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.
DTIC's IT department is in the process of merging with DISA. At this time DTIC is unable to resource RM.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
- No
- Do not know

Please explain your response (include specific goals and example metrics): The Seattle, Washington Records Center was scheduled to close within a year, not to exceed two years according to the NARA memo dated, January, 22, 2020. Due to the COVID there is not a definitive date for several week. Once DTIC receives guidance from NARA DTIC must identify an acceptable replacement within a 50 mile radius to keep the back-up tape.

8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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
- Do not know

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

Yes. DTIC has an on-boarding process which requires training in the first 30 days of appointment, as well as an out-processing form that must be checked and signed by the departing employee, their supervisor and the Records Officer.

9. Do you, as the SAORM, see challenges within your DoD Component 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
- Do not know

Please explain your response (include details of specific challenges, if applicable):
DTIC's IT department is in the process of merging with DISA. At this time DTIC is unable to resource RM.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes
- No
- Do not know

Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions):
Recommend that NARA recognize DoD is one cabinet-level/CFO agency; inspections of DoD components certainly help us all to improve but, when it comes to matters of enterprise solutions and capabilities, NARA should address these at the enterprise level.

APPENDIX F-10

DEFENSE THREAT REDUCTION AGENCY

*Senior Agency Official for Records Management
2020 Annual Report
DoD Component Input from < 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
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- For Question #9, 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: Mr. Mario Vizcarra
- Position title: Director, Information Management & Technology (IT) Directorate, and 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?

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

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

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

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

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

4. 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

Do not know

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

The DTRA Records, Information, & Forms Management (RIM) Program, is committed to managing all permanent records in an electronic format with appropriate metadata by December 31, 2022.

DTRA is leveraging SharePoint's records management functionality to ensure all unstructured data, including permanent records, residing in SharePoint Site Collection (or targeted for SharePoint maintenance) have appropriate retentions and that dispositions are electronically carried out. RIM provided one-on-one and group training sessions to SharePoint site administrator to ensure appropriate management of permanent electronic records in the SharePoint environment. RIM tested and began the process of implementing an enterprise solution that will allow DTRA to electronically manage unstructured records "in place."

The DTRA Records, Information & Forms Management is also making progress identifying an Agency-wide solution to manage records electronically. The RIM staff continues to evaluate internal and federal best practices to achieving the goal of managing all permanent records electronically. DTRA continues working with stakeholders to identify and develop additional functional requirements for a cost-effective Agency-wide solution and provide recommendations on associated pilot programs. The records management team is collaborating with DTRA Directorates to

transfer permanent paper records to electronic format, and storing the records in file folders with the correct series and description per guidance from NARA. The RIM staff is utilizing SharePoint to implement records management solutions in the records center site and comply with the mandate to manage records electronically.

5. Has your DoD Component made progress towards managing 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 and example metrics):

The Defense Threat Reduction Agency continues to make progress towards managing all temporary electronic records in electronic format. The DTRA Records, Information, & Forms Management Program, is committed to managing all temporary electronic records in an electronic format with appropriate metadata by December 31, 2022.

The DTRA RIM staff is utilizing SharePoint to implement records management solutions in the records center site and comply with the mandate to manage records electronically while exploring alternatives for Agency-wide automated solution to manage records electronically. The RIM staff continues to evaluate internal and federal best practices to achieving the goal of managing all temporary records electronically. DTRA continues working with stakeholders to identify and develop additional functional requirements for a cost-effective Agency-wide solution and provide recommendations on associated pilot programs. The records management team is collaborating with DTRA Directorates to transfer temporary paper records to electronic format, and storing the records in file folders with the correct series and description per guidance from NARA.

6. Is your DoD Component investing resources in IT to support the transition to electronic recordkeeping?

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

- Yes
- No
- Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

The DTRA Records, Information, & Forms Management Program responsibility is currently under the Information Management & Technology (IT) Directorate. RIM team is working to procure and develop upgrades to the agency's SharePoint (unstructured

data) environment for greater network-backed records storage, and more automated records retention and destruction controls, utilizing SharePoint 2016 and Records Center.

- 7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)**

- Yes
 No
 Do not know

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

N/A, DTRA does not plan to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022.

- 8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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
 Do not know

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

Updated separating employee clearance procedures include documentation that ensures records of outgoing senior officials are properly captured and/or processed.

During the exit briefing, the DTRA Records Officer confirms personal papers and copies of requested records do not have any restrictions and/or do not have an independent historical preservation interest that must be considered prior to removal.

DTRA has adopted the Capstone Approach to managing email (approved under NARA Disposition Authority (GRS 6.1-0374-2020-0001) All retentions are set at the enterprise level (permanent for Capstone accounts, and 15-20 years for all other accounts) and

dispositions are configured to take place electronically(and automatically, through some manual intervention is still necessary). For Capstone officials, even if an email is deleted, it remains permanent until transfer to NARA. RIM is currently coordinating with the DTRA Trusted Agent to develop business processes in order to access, save, and transfer email records from DISA DEE to NARA.

9. Do you, as the SAORM, see challenges within your DoD Component 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
- Do not know

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

The challenges for meeting the goal of fully-electronic record keeping are not as much technical as they are resource and scheduling during a time of DoD digital modernization. DTRA is 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. This challenge is coupled with DoD-wide migration to shared services in DoD-based clouds and other digital modernization efforts.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes
- No
- Do not know

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

DTRA values its close partnership with NARA and seeks support with the transfer of permanent electronic records as well as ongoing engagement relating to M-19-21 electronic recordkeeping requirements. DTRA is interested in exploring NARA/FRC's large scale scanning capabilities and the potential to offset persistent DTRA paper-based processes and paper records storage.

DTRA requests NARA guidance on the allowance for post -2022 accretions to paper records already stored at the FRCs. This would help DTRA fully prepare for changes in recordkeeping and recordkeeping processes post 2020.

APPENDIX F-11

MISSILE DEFENSE AGENCY

*Senior Agency Official for Records Management
2020 Annual Report
DoD Component Input from 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
- Question #1, #2, and #3 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #4, #5, #6, #7, #8, and #10 require all DoD Components to provide a response.
- For Question #9, 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, Ph.D.*
- 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?

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

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

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

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

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

4. 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

Do not know

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.

5. Has your DoD Component made progress towards managing 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 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. However, moving forward, the Agency's Records Management Office is working with the Contracting Officers to transition new contract records from paper to electronic form.

6. Is your DoD Component investing resources in IT to support the transition to electronic recordkeeping?

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

- Yes
- No
- Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain. 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. The Agency has invested in a DoD 5015.02-Standard electronic records management application to ensure digital capacity and compliance with M-19-21.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
- No
- Do not know

*Please explain your response (include specific goals and example metrics):
All records are managed in electronic format with the exception of 300 paper-based boxes of records. Plans are being developed to either digitize or outsource the storage of the existing paper records in order to meet the compliance requirement identified in M-19-21 by the 31 Dec 2022 suspense.*

8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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
- Do not know

Please explain your response (include specific details of policies and 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.

9. Do you, as the SAORM, see challenges within your DoD Component 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
- Do not know

Please explain your response (include details of specific challenges, if applicable): The Missile Defense Agency has currently transitioned to electronic recordkeeping and there are no foreseeable issues with digitizing the existing records.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes
- No
- Do not know

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

APPENDIX F-12

NATIONAL GUARD BUREAU

**Senior Agency Official for Records Management
2020 Annual Report
DoD Component Input from 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
- Question #1, #2, and #3 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #4, #5, #6, #7, #8, and #10 require all DoD Components to provide a response.
- For Question #9, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit each answer 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):

- Capt Karen S. Fraley
- NGBJS Agency Records Officer
- 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?

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

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

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

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

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

4. 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

Do not know

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

The National Guard Bureau Agency Records Officer (NGB ARO) is developing a new Records Management training curriculum for all employees to include specific senior leader training. The training will cover permanent records management.

A full records inventory will be conducted by the end of CY 21. Upon completion, the NGB will send NARA proposed record schedules for approval. NGB is also developing a course of action for permanent records to be transferred to the National Archives at their disposition date. Currently, there is a "Do Not Destroy Order" in place.

Additionally, the NGB is developing new policy that includes all recommendations from NARA's 2018 Plan of Corrective Action Report. The report was generated from a NARA led inspection in 2018.

The NGB has established working groups with key stakeholders to ensure best business practices are utilized during the transition to an electronic workflow. This team is working to provide clear guidance and standards for full e-record keeping, including electronic records storage, formats, and metadata.

The NGB ARO is working with NARA to develop process guidance for NGB's conversion of analog records, e-formatting and other matters.

5. Has your DoD Component, made progress towards managing 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 and example metrics):

NGB will conduct a full records inventory by the end of CY 21. Once the inventory is complete and records schedules approved, NGB will develop additional policies, procedures and course of action for managing temporary records in electronic format. Currently, there is a "Do Not Destroy Order" in place for all records.

6. Is your DoD Component investing resources in IT to support the transition to electronic recordkeeping?

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

- Yes
- No
- Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

NGB has resourced positions for records management and knowledge management personnel whom possess institutional knowledge on IT (Information Technology) and electronic storage. Further, NGB is conducting market research to ensure the proper resource decisions are made for NGB's transitions as a fully electronic recordkeeping agency.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your DoD Component have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
- No

X Do not know

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

At this time, NGB does not know if commercial storage will be used to replace the agency-operated record center and NARA Federal Records Centers. NGB is conducting cost analysis and market research on best practices and solutions in order to make a decision on the best course of action.

8. Does your DoD Component have policies and procedures that include documentation to ensure records of newly appointed and 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

Do not know

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

NGB has a "Do Not Destroy Order" in place for all records. NGB will continue its senior leader training with in-bound and out-bound officials, while it continues to develop a more robust training curriculum. The new training will encompass updated tools, processes and hands-on training to ensure proper records management of future senior leaders. This includes out-processing briefs, out processing checklists, defined records inventories, and processes to identify and separate personal records.

9. Do you, as the SAORM, see challenges within your DoD Component 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

Do not know

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

NGB's current policy is out of date and does not provide enough fidelity on roles and responsibilities of records management throughout the organization. As indicate earlier, this policy is under review and re-write.

NGB communications for records management were lacking in past years. NGB is initiating working groups to tackle this issue, however, it is still ongoing.

Manning record management offices throughout the organization with permanent members in a fiscally constraint environment continues to be a challenge, however is necessary to maintain continuity in the program.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

Yes

No

Do not know

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

Recommended topics for future engagements are hosting collaboration with inter/intra-agencies' SAORMs and AROs; creating working groups on best practices for e-record migration, email journaling, litigation holds, inventories, and data loss prevention.