



## *Senior Agency Official for Records Management 2022 Annual Report*

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

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

On June 28, 2019, the Office of Management and Budget (OMB) and NARA issued a memorandum, *Transition to Electronic Records* ([M-19-21](#)), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines.

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

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33.

This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

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

NARA plans to post your 2022 SAORM report on the NARA website upon receipt. Please ensure that your agency's report is a publicly releasable version. This action is in the interest of transparency in government and to promote collaboration and communication among agencies. NARA intends to list any non-responding agencies in a summary report on our website.

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Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the questions/items below and send the report to [rmsselfassessment@nara.gov](mailto:rmsselfassessment@nara.gov). Include the words "SAORM 2022 Annual Report - [Agency Name]" in the subject line of the email.
- If you are responsible for records management in multiple agencies, components, or bureaus, please determine how you will submit reports to NARA. While NARA prefers a comprehensive report, you may submit separate reports for each component.

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

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

Provide the following information (required):

- Name of SAORM: Arthur E. Gary
- Position title: Deputy Assistant Attorney General for Policy, Management and Planning
- Address: 950 Pennsylvania Avenue, NW  
Washington, DC 20530

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

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

- Offices, Boards, and Divisions as defined in 28 CFR § 0.1 *et seq.*
- Bureau of Alcohol, Tobacco, Firearms, and Explosives
- Bureau of Prisons
- Drug Enforcement Administration
- Executive Office for Immigration Review
- Executive Office for United States Attorneys and United States Attorneys' Offices
- Federal Bureau of Investigation
- Office of Justice Programs
- United States Marshals Service

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

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

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

In general, the pandemic has affected resources and onsite staffing, but also accelerated the move to electronic records. The Department, as a whole, has devoted significant time and resources to addressing the COVID-19 pandemic and its consequences. This has affected the resources available to conduct mission and administrative functions, including records and business operations.

Nonetheless, DOJ has experienced a more rapid move to electronic recordkeeping. Because of the shift to mostly remote work, more employees and contractors moved to the use of electronic communication tools which has resulted in increased electronic records creation and maintenance. In response to this outcome, the Department accelerated its shift to electronic communications and tools for working in digital environments that support remote work. Concurrently, the Department also focused on the updating and new development of policy and processes related to creation, capture and management of electronic information and policies related to electronic communications.

Although components still rely on some paper, components are moving more rapidly toward fully electronic processes. The movement forward on the use of digital information has also accelerated the need for digitization services, as well as support for business services to enable and prepare components to move to fully electronic recordkeeping. Business readiness for the move to electronic records and communications includes digitization, but also involves business process analysis and reengineering, implementation assistance, taxonomies and ontologies, new file plan development, increased focus on data management, training on new systems and applications, defined core records requirements for digital systems, and other business tools that support Records Program management such as Capstone tracking tools and capabilities that support program management.

As a consequence of these developments, the Department is currently pursuing a Blanket Purchase Agreement (BPA) based on the Multiple Award Schedules (MAS) for vendors meeting NARA's requirements, expected to be in place later this year. This will act as a

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sustained resource for components to obtain both needed digitization and records management business services to support component readiness meet the challenges of electronic records management.

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

- Yes  
 No  
 Do not know

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

In terms of the management of current and active information, all Department components are managing their records, both permanent and temporary, in electronic formats. Nonetheless, there are more than 40 components of varying sizes, missions, and functions, in the Department of Justice. Not every component has digitized all of its paper information, nor has every component automated all aspects of the management of its electronic information. Rather, there are various states of progress and automated processes. These include components that manage all of their information electronically through the lifecycle with high levels of automation, components that are focused on digitization, components that have undertaken projects to update systems and services to meet the mandates, and components that manage electronic information through the lifecycle using multiple manual processes to meet that requirement. In sum, the components work in electronic formats, capture and store in electronic formats, and have the ability to dispose of electronic records appropriately, albeit with some manual processes.

As important, components continue to engage in planning and implementing various approaches to managing electronic information with demonstrable progress. Using the Department's RIM Strategic Plan 2020-2023, ORMP has a defined strategy for moving forward to meet the mandates. This strategy includes digitization policy and guidance, the RIM Modernization Project which is aimed at identification and acquisition of technical tools, and a blanket purchase agreement in place (using the GSA Schedule) that can be used by any DOJ component to acquire RIM business services such as digitization, file plan development, inventories, scheduling, business process analysis, consultants for implementation of tools, and other needed business support to fully engage in implementation of automated tools for record keeping.

In summary, there is clear progress across the department on meeting the M-23-07 mandates with examples reflected below:

- RIM Modernization

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ORMP and the Office of the Chief Information Officer (OCIO), established a collaborative team that includes representatives from OCIO, ORMP, and several litigating components of the Department, to develop a strategic management approach for DOJ electronic records. This effort provides for strategic and policy planning on both the business and technical sides, coupled with operational management of electronic records that will enable the Department to meet legal and mission needs while maximizing resources. The approach involves a three part project that includes:

- implementation of Microsoft 365 applications
- a completed DOJ records program analysis resulting in a Concept of Operations and documented RIM business requirements to be used to develop M365 and associated tools as a Records Management Service offering for the Department's components
- the BPA referenced in response to Question 2 above to provide easier access for DOJ components to RIM digitization services and RIM business services to mature the RIM program elements that provide for business readiness to use the technical tools

- Policy Updates

ORMP revised or issued multiple policies in 2021 and in 2022 updated or issued the following recordkeeping policy for the Department:

- 0801.05.02 DOJ Instruction, Storage of Paper Records
- Policy Memorandum 2022-7, Recording Department of Justice Meetings and Events

- RIM Processes

The Department has implemented or revised the following processes:

- RIM Exit Checklist and Records Signing Official roles
- Account Management coordination with Records Managers at the time of account creation and deactivation

- Data Governance

ORMP representatives actively participate in several Department Data Governance initiatives and groups. The Department Records Officer (the Director, ORMP) is a member of the Department's Data Governance Board. Additionally, ORMP staff are members of the Department's Data Architecture Working Group (DAWG). ORMP also participates in a subgroup to develop and implement metadata management templates, data lifecycle guidance, and data maturity model assessments, as well as the Department's Artificial Intelligence Community of Interest.

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

X  Yes

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- No
  - Do not know

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

See responses to Questions 2 and 3 above.

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

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

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

At present, the FBI currently operates an agency-owned records storage facility that opened in March 2020, after 13 years of planning, design, and building at a cost of roughly \$170 million. The Department has requested an exception to the NARA requirement to close Agency records storage facilities. NARA has not yet responded, but the expectation is that this exception request will be granted.

The FRCs, especially in the National Capitol Region (NCR), lack sufficient available capacity, to accommodate the large collection of closed case files. Additionally, the security classification level of the FBI's closed case files presents barriers to FRC and commercial storage. Transfer to commercial records storage facilities was explored however, due to the relatively high level of reference activity and quantity of classified records, this option was also determined to be significantly more expensive than building and operating an FBI owned facility.

DOJ will otherwise meet the requirements for moving our inactive temporary records to Federal Records Centers by the M-23-07 deadline of June 30,2024.

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

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

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- Yes  
 No  
 Do not know

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

The Department began working on an I-Strategy (Information Management Strategy) to meet the challenges of the long-term management of digital information as a critical asset that supports the Department's missions and functions. The I-Strategy will identify management approaches that support collaboration among stakeholder groups to enhance decision making, governance processes, and to provide support for full lifecycle management of digital information. This Strategy will provide a clear roadmap to success through defined Vision, Mission & Goals, and recommended actions and practices that will integrate collaboration among multiple disciplines and functions.

The I-Strategy programmatic approach will result in the enhanced ability to innovate information governance, business readiness, and advanced technology integration. Using a multilayered framework that builds on existing information strategies, the I-Strategy will support a more unified governance framework to work across existing governing bodies. The I-Strategy will also strengthen the underlying business foundations to address information needs and maximize innovation to close the mission-to-technology gap. The Department's focus is to build efficiencies and effectiveness by optimizing a shared vision to integrate management of information, data, and also enhance overall management and support for knowledge management.

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

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

- Yes  
 No  
 Do not know

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

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The Department has Policy Statements and Instructions at the Department level that establish policy and provide guidance for the management of electronic messaging. These policies are currently being updated to address the OMB/NARA direction on managing electronic messaging.

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

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

- Yes  
 No  
 Do not know

*Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.) responses were gathered from component responses to the RMSA*

- ORMP/OCIO Ediscovery and Artificial Intelligence Community of Interest. The AI Community of Interest (COI) provides a Department-wide forum for uniting employees who are interested in accelerating the thoughtful adoption of AI, the coordination of AI initiatives, the implementation of Department-wide AI processes and standards, and the discussion of common AI issues or concerns among components.
- EOIR is currently exploring and will likely soon procure a software called HyperScience. The Agency expects to use the application's AI technology in the digitization of temporary records.
- DEA is considering using AI technology; however, funding to support a system has not been approved.
- Pursuant to Section 5 of [Executive Order 13960](#), “Promoting the Use of Trustworthy Artificial Intelligence in the Federal Government,” DOJ conducted the required assessment and submitted to OMB after a thorough review by the AI Community of Interest, Office of General Counsel, Office of Privacy and Civil Liberties, and the Data Governance Board.

In 2020/2021, ORMP used an AI and Natural Language Processing (NLP) tool to assess the similarity of records schedules across all Department records schedules. The tool provides clusters of similar items to significantly reduce the time that the Records Manager spends manually reviewing schedules for possible consolidation. An AI powered dashboard provides recommendations for schedule consolidation and review, while also providing the Records Manager with the ability to review by cluster or by individual record.



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The solution's technical approach has applicability with other domains that require text similarity analysis. The solution uses various machine learning techniques that include unsupervised topic modeling, clustering, contextual word embeddings, TF-IDF, and optimal transport in order to discern subtle shades of meaning to eliminate large portions of manual processing.

ORMP input was one of four use cases selected to be included in the DOJ response to OMB.

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

- Yes  
 No  
 Do not know

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

As the SAORM, I oversee the effectiveness of the DOJ Records Program on a regular basis through multiple means. First, I meet with the departmental Records Officer formally every other week, but also informally communicate more often as different issues and questions arise.

Second, the Department's records policy and guidance at the Department level is formal and available to all staff and contractors in the DOJ Directives Management system, housed in the DOJ Directives portal. These directives have a five year review cycle for currency, and are also updated, as needed, in order to address new technologies or to meet statutory or regulatory requirements. In addition to the mandates in Orders and Policy Statements, the Records Program also provides Instructions which are directives issuances that include guidance, standard operating procedures, examples, and templates to assist component level records programs.

Finally, ORMP developed and implemented an A-123 Records and Information Management (RIM) Program Maturity Model and Assessment (RIM Assessment), first used in 2014, and then repeated every two to three years. The RIM Assessment serves the dual purposes of supporting both DOJ level and component RIM Program maturity and DOJ component assertions on the effectiveness of internal controls required by A-123 and the Federal Managers' Financial Integrity Act.

ORMP distributes the RIM Assessment to all DOJ components in order to gather baseline information on identified performance criteria for DOJ component RIM programs in the following five critical program areas:

- Governance
- Business Foundations

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- Supporting Technology
  - Training
  - Evaluation and Review

The purpose of the ORMP RIM Assessment is to provide ORMP with a holistic view of maturity across the Department at the level of component RIM programs, and to assist individual DOJ components in identifying their program strengths and weaknesses. The RIM Assessment also provides individual DOJ components with strategies for growing the maturity of their RIM programs. In turn, ORMP leverages the information gathered from the assessments to identify overarching DOJ RIM Program maturity, set priorities, and identify next steps for high level program improvements that support Departmental strategic goals.

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

- Yes  
 No  
 Do not know

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

It would be helpful for NARA to focus its guidance and support for agencies on the following:

- Approaches for funding records management programs and the management of digital information.
- Specific, more practical, and realistically implementable approaches for managing messaging applications, such as text messaging and other forms of electronic messaging, that address the limitations on capture and management that are inherent in these communications tools.
- More concrete guidance on the appropriate management of social media information as it relates to records retention.
- Development or identification of automated tools that provide support for overarching records program management. NARA tends to focus its guidance on electronic recordkeeping tools that automate the management and capture of record content such as records and document management applications. Simply acquiring a records management or document management application, without management of the other elements of the records program, does not adequately support full-scale compliance with record keeping requirements.

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**11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM? This is worded slightly different from last year, but I still put in what we said last time.**

- Yes  
 No  
 Do not know

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

NARA should actively support more human and financial resources for agencies that would enhance and support their need to build sufficient business foundations within agency records and information management programs. Without business readiness to meet the challenges of digital information, applications, systems, and services, records programs and their leaders cannot maximize the use of available technologies to manage their content. NARA's expertise and influence could significantly assist in highlighting these issues to Congress and would also provide support for making these types of resources agency priorities. The below are examples of the need for funding that includes business consulting services and applications or software tools that:

- Support digital records requirements development and business process analysis and reengineering
- Facilitate the development of taxonomies and ontologies
- Automate and assist the development of file plans and inventories, as well as provide updated capabilities to keep them current
- Serve as repositories for records control schedules and inventories
- Automate and assist tracking Capstone Officials, titles, names and tenures, or tools that support the analysis and approval of systems, services, or applications that house records
- Shared drive cleanup and deduplication applications that meet NARA standards