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 8, 2024, and reports are due back to NARA no later than March 8, 2024.

NARA plans to post your 2023 SAORM report on the NARA website upon receipt. Please ensure that your agency's report is a publicly releasable version. This action is in the interest of transparency in government and to promote collaboration and communication among agencies. NARA intends to list any non-responding agencies in a summary report on our website.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the questions/items below and send the report to rmselfassessment@nara.gov. Include the words "SAORM 2023 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: _William N. Taylor II_____

- Position title: Deputy Assistant Attorney General for Policy, Management, and Procurement

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

   All the following components and bureaus are covered under this report; none will be reporting separately.

- 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

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

2. **Will your agency 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)**

   X☐ Yes
   ☐ No
   ☐ Not applicable, all records are in electronic format

   If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

3. **Will your agency meet the goal to manage and preserve all <u>temporary</u> records in an electronic format by June 30, 2024? (M-19-21, 1.3 and M-23-07, 1.3)**

   X☐ Yes
   ☐ No
   ☐ Not applicable, all records are in electronic format

   If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

4. **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 by June 30, 2024? (Choose all that apply)**

   X☐ Yes
   ☐ No
   ☐ Not applicable, my agency does not have agency-operated records storage facilities
   ☐ Not applicable, all records are in electronic format

   If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

5. **Will your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 and transfer inactive records to a NARA Federal Records Center (FRC) or commercial storage facilities by June 30, 2024? (Choose all that apply)**

   X☐ Yes, we will transfer to the FRC
   X☐ Yes, we will transfer to commercial storage facilities
   ☐ No
   ☐ Not applicable, all records are in electronic format

   If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

6. **Does your agency have a Data Management Strategy that includes records management principles? (**_https://www.archives.gov/files/records-mgmt/resources/cdo-rm-assessment-report.pdf_**)**

X☐ Yes
☐ No

Please explain your response.

Through the Office of the Chief Information Officer (OCIO), DOJ has a Data Management program that furthers the mission of DOJ components through optimized data management and sharing. The Data Management program facilitates multiple communities chartered under the Department's Data Governance Board including the Data Architecture Working Group (DAWG), Geospatial Community of Interest, and the Artificial Intelligence (AI) Community of Interest all of which include records management subject matter experts.

Furthermore, OCIO has a Data Strategy Implementation Plan that includes inventory guidelines for reviewing datasets to populate data catalog, leveraging existing records management processes (e.g. Annual file plan calls, Inventory calls), plans to identify and update central reference material (i.e. knowledge hub) with data management standards and practices, referencing records management processes (e.g. Annual disposition reviews), and Data management plan templates for component-level plans that, leverages existing records management processes and protocols (e.g. CUI/security marking, Legal/Preservation hold processes).

7. **In your role as SAORM, do you meet with your Agency Records Officer(s) to discuss the agency records management program's goals?**

X☐ Yes
☐ No
☐ Not applicable, my agency does not currently have a designated Agency Records Officer

Please explain your response. (If 'Yes,' please include how often, a description of topics, and outcomes of these meetings. If 'No,' please explain why not.)

As the SAORM, I meet with the departmental Records Officer formally every other week, but also informally communicate more often as different issues and questions arise.

8. **Has your agency incorporated NARA's digitization standards into your Information Resource Management (IRM) Strategic Plan? (44 U.S.C. 3506(b)(2) and OMB Circular A-130)**

☐ Yes

X☐ No
☐ Not applicable, my agency is not currently digitizing records

Please explain your response. (If 'Yes,' what steps have been taken? If 'No,' why not?)

The current OCIO Strategic Plan covers 2022-2024 and the NARA digitization standards were either brand new, in the case of temporary, or still in process, in the case of permanent, when the Strategic Plan was written.

9. **Does your agency have a social media strategy that includes capturing and maintaining records in accordance with records management statutes and regulations?**

X☐ Yes
☐ No

Please explain your response.
DOJ has multiple safeguards in place to ensure that social media records are captured and managed appropriately. The Department has a Social Media Working Group that consists of members of records management, general counsel, OCIO, ethics, privacy, and public affairs staffs that reviews all requests for Departmental social media accounts. The records management portion of this working group further requires requesting bureaus or components to submit a Records Management Questionnaire to determine if the system will be creating records and to ensure that the records are captured appropriately. DOJ uses the ArchiveSocial system to capture social media postings. ArchiveSocial is also able to export these postings to ensure that they can be managed and maintained with related records in bureau or component recordkeeping systems.

Furthermore, there is DOJ-wide policy that governs the use of official social media accounts (DOJ Policy Statement 0300.02 Use of Social Media to Communicate with the Public and DOJ Instruction 0300.02.01 Use of Social Media to Communicate with the Public), as well as DOJ-wide schedules that address social media records which we are in the process of updating to ensure that they meet all standards, including Capstone (N1-060-10-012 Social Media (Web 2.0) Applications and DAA-0060-2013-0002 Public-facing Social Media Applications).

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

X☐ Yes
☐ No

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, which address the limitations on capture and management that are inherent in these communications tools.
- 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.
- Guidance on defining the scope of records generated by Artificial Intelligence (AI) needed to support authenticity. NARA needs to provide departments with standards for systems that use AI technology.