

*Senior Agency Official for Records Management  
2020 Annual Report  
DoD Office of the Inspector General*

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: Thomas Jenkins
- Position title: Information Governance Officer
- Address: 4800 Mark Center Drive, Alexandria, VA 22350-1500

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

*Department of Defense Office of the Inspector General*

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

*DoD OIG transitioned to an electronic remote working environment during the COVID-19 pandemic, but no policies were changed. Existing DoD OIG records management policies were applied to records created within remote working environments. The DoD OIG is considering new practices to capture records created within these environments, especially when staff use virtual meeting software, chat messaging, and mobile devices and these communications constitute official OIG records.*

**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)**

- (a) In response to DoD policy and other requirements to treat information as a critical asset, the DoD OIG established a strategic goal to manage information effectively across the agency. The DoD OIG established an information governance program in the office of the Chief Information Officer to drive information management, coordination, consistency and maturity across all functional lines of business within the agency.*
- (b) The DoD OIG information governance program maintains a framework to guide the development and implementation of information governance, including records management. The program supports strategic business outcomes by improving services, developing and maintaining information policies and procedures, supporting litigation and FOIA requests, implementing and managing systems that manage information, managing classification and metadata, and leveraging knowledge and insight to improve information practices in a digital environment across the agency.*
- (c) Staff in the information governance program work alongside IT functional representatives and proactively collaborate with relevant councils and stakeholders, including the SAORM and Deputy Chief of Staff, Chief Information Officer, General Counsel, FOIA staff, Office of Information Security, Cyber-security, and senior leaders and representatives in each line of OIG business (e.g. Auditing, Investigating, & Evaluations).*
- (d) The information governance program is composed of staff with interdisciplinary responsibilities: an information governance officer, a digital librarian, an information security specialist, records and information specialists, contract system administrators, and library and information science technicians.*

**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):*

*(a) The DoD OIG is taking actions to develop formal processes and develop automated practices to consistently identify, categorize and segregate permanent records from voluminous unstructured electronic information and disparate business systems.*

*(b) The DoD OIG is establishing a standard classification scheme across the agency with unified metadata structures to ensure permanent records are consistently captured, indexed, stored, shared, retrieved, and transferred to the OIG official repository with minimal user interaction.*

*(c) By July 2021, DoD OIG will perform an agency- wide functional analysis to define metadata of permanent and potentially permanent records.*

*(d) By March 2022, DoD OIG will ingest unstructured permanent records into its archival and records management system.*

**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):*

*(a) The DoD OIG is taking actions to analyze unstructured information, identify and delete redundant, obsolete, and trivial (ROT) files, identify and delete duplicate information, delete transitory records according to General Records Schedules, develop formal processes and automated practices to consistently identify, categorize and segregate personal files and records from voluminous unstructured electronic information.*

*(b) The DoD OIG is establishing a standard classification scheme and taxonomy across the agency with unified metadata schema to ensure permanent records, personal information, ROT files, transitory and GRS information are consistently identified, indexed, stored, shared, retrieved, and transferred or removed from the OIG official repository with minimal user interaction.*

*(c) By November 2022, DoD OIG will implement business rules in its archival and records management system to manage temporary unstructured electronic information.*

**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 DoD OIG continues to invest in the transition to electronic recordkeeping by funding additional records management system capabilities and expanding its capacity to store and manage large volumes of information.*

*The DoD OIG supports the transition to electronic recordkeeping by hiring government staff and contract personnel with specialized knowledge, skills and abilities to manage electronic information.*

**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 DoD OIG currently maintains official records in electronic form, the agency is taking steps to evaluate approaches to replace existing paper records at NARA Federal Records Centers by December 31, 2022. The DoD OIG is researching best practices and feasible solutions to determine how commercial storage can be used. The DoD OIG does not plan to mass digitize large volumes of paper records currently stored within the records center.*

**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 DoD OIG properly captures the records of senior officials and personnel designated as Capstone officials. The DoD OIG conducts entry and exit briefings, captures records within recordkeeping systems or transfers electronic information to long-term storage, culls personal information, and document these activities on signed memorandums.*

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

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

*collaboration tools, externally hosted cloud-based storage or systems and internal information systems.*

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

**10. 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):*

*The DoD OIG suggest NARA provide additional how-to-guidance and tool kits with dedicated websites for managing electronic records in cloud environments, Office 365, social media, transferring permanent electronic records, and transitioning paper records from Federal Records Centers to commercial storage centers.*