



CHIEF INFORMATION OFFICER

DEPARTMENT OF DEFENSE
6000 DEFENSE PENTAGON
WASHINGTON, D.C. 20301-6000

MAY 18 2017

Mr. Lawrence Brewer
Chief Records Officer for the U.S. Government
National Archives and Records Administration
8601 Adelphi Road, Room 2100
College Park, MD 20740

Dear Mr. Brewer:

This letter serves to complete the Department of Defense (DoD) Senior Agency Official for Records Management 2016 Annual Report and respond to Question #2 (Did your agency and Components meet the M-12-18 target goal 1.2 to manage all email records in an electronic format by December 31, 2016?).

The Department has collected status from the Component and Combatant Commands based on input to The U.S. National Archives and Records Administration's Federal Email Management Report. All DoD Components and Combatant Commands met the December 2016 requirement.

Sincerely,


John A. Zangardi
Acting



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6000 DEFENSE PENTAGON
WASHINGTON, D.C. 20301-6000

CHIEF INFORMATION OFFICER

MAR 21 2017

Mr. Lawrence Brewer
Chief Records Officer for the U.S. Government
National Archives and Records Administration
8601 Adelphi Road, Room 2100
College Park, MD 20740

Dear Mr. Brewer:

As requested in your January 9, 2017 correspondence, please find the enclosed Department of Defense (DoD) Senior Agency Official for Records Management 2016 Annual Report. The report documents the Department's progress towards the successful implementation of the *Office of Management and Budget/National Archives and Records Administration (NARA) Managing Government Records Directive (M-12-18)*.

The Department remains committed to transitioning to electronic records solutions that move it towards records transparency, efficiency, and accountability. We appreciate the support NARA has given the Department to help mature our records management program, and looks forward to continued engagement in the future.

The point of contact for the Department's records management program is Ms. Patti Benner, patricia.l.benner4.civ@mail.mil, (571)372-4443.

Sincerely,


John A. Zangardi
Acting

Enclosure:
As stated

**Department of Defense
Chief Information Officer**



**Senior Agency Official for Records Management
2016 Annual Report**

17 March 2017

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DoD Senior Agency Official for Records Management Contact Information

Provide the following information (required):

| | |
|-------------------------|---|
| Name of SAORM | Dr. John A. Zangardi |
| Position title | DoD Chief Information Officer (Acting) |
| Name of Deputy SAORM | Ms. Karin E. Appel, Deputy |
| Position title | Special Assistant for Governance and Analytics |
| Address | Department of Defense 6000 Defense Pentagon Washington, DC 20301-6000 |
| Office telephone number | 703-695-0871 |

1. DoD Components Covered by this Report

What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?

This report covers all Components of the Department of Defense (DoD). 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*, sets the records management (RM) policy for DoD and delegates the responsibilities for execution of this policy to the head of each DoD Component. The DoD SAORM works with the Component SAORMs and the Agency Records Officers (ARO) 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 (NARA) Managing Government Records Directive (M-12-18)* may differ and 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 chart shows each of the Component SAORMs and the DoD Components that report through that Component SAORM:

| Component SAORM | DoD Components Covered |
|--|---|
| Mr. Gerald B. O’Keefe Administrative Assistant to the Secretary of the Army | Dept of Army |
| Mr. Robert W. Foster Dept of Navy (DON) CIO Mr. William O’Donnell DON/Asst for Admin, Delegate LtGen James Laster Director, MC Staff, Delegate | Navy US Marine Corps |
| Mr. Kenneth E. LeClair, (Acting) Chief, Compliance Division, Office of Information Dominance and CIO | Dept of Air Force |
| MajGen Jacqueline D. Van Ovost Vice Director, Joint Staff | Office of the Chairman of the Joint Chiefs of Staff (OCJCS) |
| | National Defense University |
| | US Africa Command |
| | US Central Command |
| | US European Command |
| | US Northern Command |
| | US Pacific Command |
| | US Southern Command |
| | US Special Operations Command |
| | US Strategic Command |
| | US Transportation Command |

| Component SAORM | DoD Components Covered |
|---|--|
| Ms. Karen Finnegan Meyers, Director, Executive Services Division/WHS | Office of the Secretary of Defense (OSD) |
| Ms. Karin E. Appel Deputy SAORM and Special Assistant for Governance and Analytics | Army and Air Force Exchange Services |
| | Defense Commissary Agency |
| | Defense Contract Audit |
| | Defense Contract Management Agency |
| | Defense Finance and Accounting Service |
| | Defense Information Systems Agency |
| | Defense Logistics Agency |
| | Defense Security Service |
| | Defense Technical Information Center |
| | Defense Threat Reduction Agency |
| | Missile Defense Agency |
| DoD Office of Inspector General | |
| National Guard Bureau | |

2. Management of Permanent and Temporary Email Records

Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)

Per discussion with NARA's Director of Records Management Oversight and Reporting, this question is being deferred pending the completion of the separate "Federal Email Management Report" which was sent directly from NARA to AROs. AROs are required to respond to NARA by March 17. NARA will provide DoD a summary of the reports submitted. .

3. Records Schedule Submission for Existing Records

Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)

Yes

No

All DoD Components have scheduled existing paper and non-electronic records with the exception of the Department of the Navy (DON), National Defense University (NDU) and United States Pacific Command (USPACOM).

- The DON is currently in the final stages of a complete revision to its retention manual (SECNAV Manual M-5210.1). The new manual will reduce the number of schedules from more than 7000 to 600 and includes previously unscheduled records.
- NDU is in the process of finalizing their inventories of their more complex components and plan to complete this goal by mid 2017.
- USPACOM has had resource problems with their personnel being overtasked, as well as a shortage of certified records managers. USPACOM continues to make progress on this goal.

4. Management of Permanent Electronic Records

Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)

Yes

No

All DoD Components are making progress toward meeting the deadline to manage all permanent electronic records electronically. In many cases, DoD Components have acquired or are in the process of acquiring systems for this purpose. As an enterprise, DoD is in the process of acquiring an enterprise desktop solution that will include records management capabilities. This solution will provide the capability to electronically manage electronic records created through desktop applications such as word processing,

spreadsheets, video conferencing, and messaging. For discussion of progress by specific Components, please refer to the appendixes.

5. Digitization of Permanent Records Created in Analog Formats

Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)

Yes

No

All DoD Components have developed plans or taken actions to evaluate and implement digitization of permanent records created in hard copy or other analog formats with the exception of OCJCS, Defense Contract Management Agency (DCMA), and USPACOM:

- OCJCS recognizes the benefits of maintaining permanent records electronically based on past experience with digitization projects. However in the current budget environment, funding is scarce and it is difficult to plan for a long term scanning project. OCJCS continues to accession permanent paper record collections to NARA on schedule.
- DCMA has not yet formalized its process for digitizing historical temporary or permanent hard copy documents. Their plan is to base decisions on the business value, resources, record type, and retention.
- USPACOM does not have a formal plan for digitization. However, discussions are underway with the owners of the bulk of records in hard copy and analog formats. This area will be addressed as focus is shifted to managing permanent electronic records.

6. Records Management as Component of Information Resources Management Strategy

Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)

Yes

No

The April 2015 Department of Defense Information Resources Management Strategic Plan includes records management as a key component of the strategy. The strategy includes seven goals. The first goal is "Exploit the Power of Trusted Information Sharing." One of the Strategic Elements supporting the goal is "Deploy an effective Records Management System/Program."

Additionally, the plan includes a section on “Managing Information as an Asset.” The Information Lifecycle is specifically addressed. “The life cycle for information within the DoD information environment spans information creation, storage (both short-term and long-term Records Management), protection, dissemination, discoverability and accessibility, and use by applications and other computing services when and where needed.”

Finally, the plan identifies four RM focus areas: Policy and Oversight, Records Management Community, Systems Development, and Professional Workforce. These four areas contribute to meeting the goals set in the M-12-18.

**Department of Defense
Chief Information Officer**



**DoD Component Input to the
Senior Agency Official for Records Management
2016 Annual Report**

17 March 2017

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APPENDIX A

Department of the Army Component SAORM Report



DEPARTMENT OF THE ARMY
ADMINISTRATIVE ASSISTANT TO THE SECRETARY OF THE ARMY
105 ARMY PENTAGON
WASHINGTON DC 20310-0105

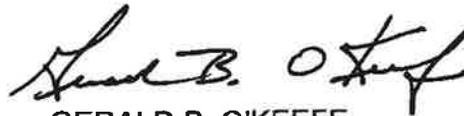
FEB 07 2017

MEMORANDUM FOR Dr. John A. Zangardi, Department of Defense Senior Agency
Official for Records Management, 6000 Defense Pentagon, Room 3E1028,
Washington, DC 20301-6000

SUBJECT: Senior Agency Official 2016 Annual Report

1. Reference Email, DOD Records Officer, 13 Jan 17, subject: Update - 2016 DOD SAO Report to NARA.
2. Enclosed is the Army's response for consolidation into the final report to the National Archives and Records Administration.
3. My point of contact for the response is Mr. Anthony D. Crawley Gibson, 703-428-6464 or anthony.d.crawley-gibson.civ@mail.mil.

Encl


GERALD B. O'KEEFE

**Senior Agency Official for Records Management
2016 Annual Report
DoD Component Input from **Department of the Army****

The DoD SAORM will be submitting the annual report to NARA as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting:

- This template covers progress through December 31, 2016.
- As noted in the template, some questions will be answered by the DoD SAORM and do not require Component input.
- 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. NARA plans to post your 2016 SAORM report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies.

Provide the following information (required):

- DoD Component Point of Contact: Gerald B. O'Keefe
- Position Title: Administrative Assistant to the Secretary of the Army
- Address: 101 Army Pentagon, Washington, DC 20310-0101
- Office telephone number: 703-545-0561
- Email: gerald.b.okeefe.civ@mail.mil

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

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

2. Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)

No DoD Component input is required at this time. This question is being deferred pending the completion of the separate "Federal Email Management Report" sent directly to the Agency Records Officers.

This item will be addressed independently of the SAO Report utilizing the Federal Email Management Reporting tool provided by NARA.

For clarity, Army has met the M-12-18, 1.2 target goal for managing all email records in an electronic format. As of 31 Dec 2016 the Army has implemented CAPSTONE to retain emails of select senior officials as permanent. These emails will be automatically captured, stored and managed in an electronic format. All other emails will be managed in accordance with existing record keeping policies.

3. Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)

Yes

No

If No, please list which part of your agency or components did not and why?

4. Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)

Yes

No

Army policy, AR 25-400-2 (The Army Records Management Program) and DA PAM 25-403 (Guide to Recordkeeping in the Army) have been revised to require, to the extent possible, all permanent records other than Capstone emails be saved in an acceptable electronic format. This will ensure that records can be moved to other record and storage systems in a stable format. Additionally, Army policy will require all electronic permanent records that are not already managed in an approved electronic system (such as Army personnel records managed in iPerms) to be stored in the Army Electronic Archive, a component of the Army Records Information System (ARIMS).

Army currently manages both paper and electronic records through ARIMS. ARIMS is a role-based system containing web-based tools for the management of both short-term and long-term records through user development of specific office records lists for identifying and storing records.

ARIMS enables the authorized user to capture, retain, search and retrieve stored electronic records. Organizations are able to upload records into the Army Electronic Archive (AEA) for storage until their final disposition or transfer to NARA is authorized. The system has a single

document upload function, a bulk archive tool (BAT) application and an Interface Control Document which enables the system to interface between two or more systems.

5. Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)

Yes

No

Army policy, AR 25-400-2 (The Army Records Management Program) and DA PAM 25-403 (Guide to Recordkeeping in the Army) has been revised to include guidance for the digitization of permanent records created in hard copy or other analog formats.

6. Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)

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

APPENDIX B

Department of the Navy Component SAORM Report

**Senior Agency Official for Records Management
2016 Annual Report
DoD Component Input from Department of the Navy**

DON SAO: Mr. Robert W. Foster
Position title: Department of the Navy Chief Information Officer (DON CIO)
Address: 1000 Navy Pentagon
Washington, DC 20350
Office telephone number: (703) 695-1840

Delegate SAO (USN): Mr. William O'Donnell
Position title: DON Assistant for Administration
Address: 1000 Navy Pentagon
Washington, DC 20350
Office telephone number: 703-692-6094

Delegate SAO (USMC): LtGen James B. Laster
Position title: Director, Marine Corps Staff
Address: 3000 Marine Corps Pentagon
Washington DC 20350
Office telephone number: 571-256-8883

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

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

2. **Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)**

(No DoD Component input is required at this time. This question is being deferred, pending completion of the separate “Federal Email Management Report” sent directly to the Agency Records Officers).

3. **Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)**

Yes

No

If No, please list which part of your agency or components did not and why?

The DON is currently in the final stages of a complete revision to its records retention manual (SECNAV Manual M-5210.1). The revision will reduce the number of schedules from more than 7000 to 600 in preparation for transition to the DON’s tasking and records management system (DON TRACKER). This “big bucket” schedule will significantly simplify SSIC assignment for the Navy and Marine Corps, increase compliance, reduce risk, and streamline records retention.

The DON manual revision project has been in progress for the last 36 months and several chapters, including one on previously un-scheduled records, have been submitted for NARA approval. Of the 13 chapters in SECNAV M-5210.1, “DON Records Management Program, Records Management Manual,” four have been approved; seven are currently undergoing NARA review. The final two chapters will be submitted to NARA via their Electronic Records Archives (ERA) in March 2017.

4. **Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)**

DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

Yes

No

If Yes, please describe this progress.

If No, please list which part of your agency or components did not and why?

The DON Secretariat and Navy use a 5015.2 Standard (STD) compliant certified records management system for managing electronic records. Capabilities will increase when the DON completes the DON TRACKER project, which will align task management with records management processes using a web-based open source platform that is more accessible than the current system, TRIM. TRACKER will combine the current 20+ tasker and record management systems currently operating in the DON into one system, thereby standardizing tasking and records management across an extremely large organization.

The Marine Corps is already using DON TRACKER as its task management solution. Although the system already has records management capability, records management training and implementation is still being developed. In the interim, the Marine Corps has developed a SharePoint configuration called the Marine Corps Tool for Information Lifecycle Management (MCTILM). It is being incorporated into Enterprise SharePoint instances as the solution for records management, and MCTILM records will be migrated into DON TRACKER when the time arises. The Marine Corps liaison to NARA and NARA's 2016 Inspection Team have been briefed on and have seen demonstrations of MCTILM, all to positive response.

5. Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)

Yes

No

Please describe your specific plans or actions.

The Department of the Navy / Assistant for Administration (DON/AA) Directives & Records Management Division (DRMD) upcoming declassification program support services contract will provide the DON the necessary means to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio). The program will meet established National Archives guidelines for electronic record preservation, including requirements for Optical Capture Recognition (OCR), a minimum of 300 DPI, and appropriate metadata.

6. Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)

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

APPENDIX C

Department of the Air Force Component SAORM Report

Senior Agency Official for Records Management
2016 Annual Report
DoD Component Input from *Department of the Air Force*

The DoD SAORM will be submitting the annual report to NARA as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- As noted in the template, some questions will be answered by the DoD SAORM and do not require Component input.
- 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. NARA plans to post your 2016 SAORM report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies.

Provide the following information (required):

- DoD Component Point of Contact – **Mr Tommy W. Lee**
- Position title – **Air Force Records Officer**
- Address – **1800 Air Force Pentagon, Washington, DC 20330-1800**
- Office telephone number – **(703) 695-6609**
- Email - **usaf.pentagon.saf-cio-a6.mbx.af-records@mail.mil**

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

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

2. Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)

No DoD Component input is required at this time. This question is being deferred pending the completion of the separate "Federal Email Management Report" sent directly to the Agency Records Officers.

3. **Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)**

Yes

No

If No, please list which part of your agency or components did not and why?

4. **Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)**

DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

Yes

No

If Yes, please describe this progress.

As one of its options to meet this deadline, the Department of the Air Force will migrate its current efforts to implement the Defense Enterprise Office Solution (DEOS), which will incorporate capabilities to manage permanent electronic records electronically.

If No, please list which part of your agency or components did not and why?

5. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

Yes

No

Please describe your specific plans or actions.

In 2016 various Air Force organizations - working in different stages from planning to implementation of scanning projects - contacted the Air Force Records Office for information on digitalization of which the Air Force Records Office provided guidance on the Notification process, which is required to gain NARA's approval in digitizing permanent records. Current Air Force Records Management policy states conversion of paper documents to electronic format as well as scanning

documents are acceptable with electronic records being the media of choice for use, storage and maintenance.

6. **Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)**

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

APPENDIX D

Chairman of the Joint Chiefs of Staff Component SAORM Report

APPENDIX D-1

Chairman of the Joint Chiefs of Staff SAORM Report

Greetings! Welcome to the SAO Report. Please only provide information for the questions that are highlighted in yellow. This includes the Component contact information on the first page. For Question 3, Please let us know if your component has any collections of Non-Electronic records that are not scheduled or do not currently have a retention in the JS/CCMD Disposition Schedule, CJCSM 5760.01A, Vol. II. Joint Staff will provide the rest of the response to DoD/CIO for that question.

**Senior Agency Official for Records Management
2016 Annual Report
DoD Component Input from Joint Staff**

The DoD SAORM will be submitting the annual report to NARA as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

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- **As noted in the template, some questions will be answered by the DoD SAORM and do not require Component input.**
- 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. NARA plans to post your 2016 SAORM report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies.

Provide the following information (required):

- Mr. Mark Patrick
- Chief, Information Management Division / Acting Joint Staff Records Officer
- 400 Joint Staff Blvd, Pentagon. Washington D.C. 20318
- 703-697-9145
- Mark.s.patrick.civ@mail.mil

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| 1. | <p>What agencies, bureaus, components, or offices are covered by this report and your position as SAORM? (DoD SAORM will provide this response. No DoD Component input is required.)</p> |
| 2. | <p>Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)</p> <p><i>(No DoD Component input is required at this time. This question is being deferred pending the completion of the separate "Federal Email Management Report" sent directly to the Agency Records Officers.)</i></p> |
| 3. | <p>Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)</p> <p><input checked="" type="checkbox"/> Yes</p> <p><input type="checkbox"/> No - If No, please list which part of your agency or components did not and why?</p> |
| 4. | <p>Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)</p> <p><i>DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.</i></p> <p><input checked="" type="checkbox"/> Yes - The Joint Staff currently maintains the majority of its information electronically, particularly when it comes to official JS case files, as these flow directly from the tasking system into the records repository, thus enabling capture of these important permanent records. JS progress continues in the development and implementation of its enterprise tasking and records management tool that will support future lifecycle management of all JS electronic information.</p> <p><input type="checkbox"/> No - If No, please list which part of your agency or components did not and why?</p> |
| 5. | <p>Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)</p> <p><input type="checkbox"/> Yes</p> <p><input checked="" type="checkbox"/> No Based on past experience with digitization projects, the JS recognizes the benefits of maintaining permanent records electronically, however in the current budget environment, funding is scarce and it is difficult to plan for a long term scanning project. There are also other considerations such as employee resources,</p> |

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| | <p>clearance levels of both employees and equipment, and the ability to perform a quality assurance check, that factor into the overall cost. For these reasons and others, the JS has not yet developed plans do this. However, the JS continues to accession permanent paper record collections to NARA as they meet the 25-yr mark per the JS disposition schedule.</p> <p>Please describe your specific plans or actions.</p> |
| <p>6.</p> | <p>Have you, as the SAORM, taken steps to include records management as a key component of your agency’s information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19) DoD SAORM will provide this response. No DoD Component input is required.</p> |

APPENDIX D-2

National Defense University SAORM Report

Greetings! Welcome to the SAO Report. Please only provide information for the questions that are highlighted in yellow. This includes the Component contact information on the first page. For Question 3, Please let us know if your component has any collections of Non-Electronic records that are not scheduled or do not currently have a retention in the JS/CCMD Disposition Schedule, CJCSM 5760.01A, Vol. II. Joint Staff will provide the rest of the response to DoD/CIO for that question.

**Senior Agency Official for Records Management
2016 Annual Report
DoD Component Input from < National Defense University >**

The DoD SAORM will be submitting the annual report to NARA as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- **As noted in the template, some questions will be answered by the DoD SAORM and do not require Component input.**
- 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. NARA plans to post your 2016 SAORM report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies.

Provide the following information (required):

- **DoD Component Point of Contact** - National Defense University
Tonya Barbee
- **Position title** Agency Records Officer
- **Address** 300 5th Avenue, SW
Washington, DC 20319
- **Office telephone number** 202-685-3941
- **Email** barbeet@ndu.edu

NDU answers are in **blue**.

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| 1. | <p>What agencies, bureaus, components, or offices are covered by this report and your position as SAORM? <i>(DoD SAORM will provide this response. No DoD Component input is required.)</i></p> |
| 2. | <p>Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)</p> <p><i>(No DoD Component input is required at this time. This question is being deferred pending the completion of the separate "Federal Email Management Report" sent directly to the Agency Records Officers.)</i></p> |
| 3. | <p>Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)</p> <p><input type="checkbox"/> Yes</p> <p><input checked="" type="checkbox"/> No - If No, please list which part of your agency or components did not and why? Two of our most complex components in the research area and academics, are in the process of finalizing their inventories so that we can receive new schedules that currently does not exist in the Joint Staff Bucket Series. We have identified additional series: #1300 for Academic records and #1400 for research. Should be able to wrap up by the middle of this year.</p> |
| 4. | <p>Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)</p> <p><i>DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.</i></p> <p><input checked="" type="checkbox"/> Yes - If Yes, please describe this progress. At NDU, we are making progress to manage all permanent records as the records are being identified. We are planning to meet the December 31, 2019 deadline to have all permanent records maintained electronically.</p> <p><input type="checkbox"/> No - If No, please list which part of your agency or components did not and why?</p> |
| 5. | <p>Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or</p> |

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| | <p>other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)</p> <p><input type="checkbox"/> Yes</p> <p>At NDU, we have plans in place to evaluate and implement the digitization of permanent records. Here's what we are doing: a) Inventory all permanent records; b) schedule permanent records separately; c) digitize hard copy, (via scanning, using microfiche and/or digitized equipment; d) destroy hard copies once verified scanned copy is legible. We are working closely with our Information Technology/Multimedia Services Directorates to accomplish this critical mission.</p> <p><input type="checkbox"/> No</p> <p>Please describe your specific plans or actions.</p> |
| <p>6.</p> | <p>Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19) DoD SAORM will provide this response. No DoD Component input is required.</p> |

APPENDIX D-3

United States Africa Command SAORM Report

Greetings! Welcome to the SAO Report. Please only provide information for the questions that are highlighted in yellow. This includes the Component contact information on the first page. For Question 3, Please let us know if your component has any collections of Non-Electronic records that are not scheduled or do not currently have a retention in the JS/CCMD Disposition Schedule, CJCSM 5760.01A, Vol. II. Joint Staff will provide the rest of the response to DoD/CIO for that question.

**Senior Agency Official for Records Management
2016 Annual Report
DoD Component Input from *U.S. Africa Command***

The DoD SAORM will be submitting the annual report to NARA as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- **As noted in the template, some questions will be answered by the DoD SAORM and do not require Component input.**
- 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. NARA plans to post your 2016 SAORM report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies.

Provide the following information (required):

- Ms. Rebekka M. Bernotat
- Command Records Manager
- UNIT 29951 APO, AE 09751-9951
- DSN: 314-421-2731
- rebekka.m.bernotat.civ@mail.smil.mil

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| 1. | <p>What agencies, bureaus, components, or offices are covered by this report and your position as SAORM? <i>(DoD SAORM will provide this response. No DoD Component input is required.)</i></p> |
| 2. | <p>Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)</p> <p><i>(No DoD Component input is required at this time. This question is being deferred pending the completion of the separate "Federal Email Management Report" sent directly to the Agency Records Officers.)</i></p> |
| 3. | <p>Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)</p> <p><input type="checkbox"/> Yes</p> <p><input checked="" type="checkbox"/> No - If No, please list which part of your agency or components did not and why?</p> |
| | <p>All USAFRICOM Official Records are electronic. There are no longer records in non-electronic form as the official record copy. Existing paper records are considered non-record copies.</p> |
| 4. | <p>Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)</p> <p><i>DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.</i></p> <p><input checked="" type="checkbox"/> Yes - If Yes, please describe this progress.</p> <p><input type="checkbox"/> No - If No, please list which part of your agency or components did not and why?</p> |
| | <p>All permanent official records are being retained as electronic records. Records Officers and File Custodians are trained to manage their respective directorate's records in electronic form. The use of shared drives is still being utilized however training is underway to create links to our designated electronic records management system, HP TRIM (HP CM) as the approved electronic archive. The same process is being used for electronic mail by creating links from an Outlook Organizational Mailbox to HP TRIM (HP CM). Currently there is an ongoing discussion with C4Systems (J6) in managing content residing in SharePoint. Once the upgrade from HP TRIM to HP CM is successfully in place, we will discuss the best COA in managing records from SharePoint.</p> |

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| 5. | <p>Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)</p> <p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please describe your specific plans or actions.</p> |
| | <p>All Records Officers (RO) and File Custodians (FC) have been briefed that any permanent records still in hard copy format will be digitized and migrated to HP TRIM (HP CM). All JSAPs and records signed by the Top 5 are being electronically archived in HP TRIM by the SJS. All other permanent records are the responsibility of the ROs and FCs. If shared folders are being used then they have been directed to create links between these folders and HP TRIM to archive the records and the same with permanent email records from Outlook into HP TRIM. ROs and FCs have been briefed that they are responsible for manually migrating permanent records that reside on SharePoint into HP TRIM. However, the Records Management Office and the J6 (C4Systems) are collaborating on how to best automate this process once the upgraded version, HP CM, is in place.</p> |
| 6. | <p>Have you, as the SAORM, taken steps to include records management as a key component of your agency’s information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19) DoD SAORM will provide this response. No DoD Component input is required.</p> |

APPENDIX D-4

United States Central Command SAORM Report

Greetings! Welcome to the SAO Report. Please only provide information for the questions that are highlighted in yellow. This includes the Component contact information on the first page. For Question 3, Please let us know if your component has any collections of Non-Electronic records that are not scheduled or do not currently have a retention in the JS/CCMD Disposition Schedule, CJCSM 5760.01A, Vol. II. Joint Staff will provide the rest of the response to DoD/CIO for that question.

**Senior Agency Official for Records Management
2016 Annual Report
DoD Component Input from *U.S. Central Command (USCENTCOM)***

The DoD SAORM will be submitting the annual report to NARA as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- **As noted in the template, some questions will be answered by the DoD SAORM and do not require Component input.**
- 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. NARA plans to post your 2016 SAORM report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies.

Provide the following information (required):

- DoD Component Point of Contact: Kathryn H Nevins, CRM
- Position title Command Records Manager
- Address 7115 South Boundary Blvd, Macdill AFB, FL 33621-5101
- Office telephone number 813-529-6297
- Email kathryn.h.nevins.civ@mail.mil

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| 1. | <p>What agencies, bureaus, components, or offices are covered by this report and your position as SAORM? <i>(DoD SAORM will provide this response. No DoD Component input is required.)</i></p> |
| 2. | <p>Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)</p> <p><i>(No DoD Component input is required at this time. This question is being deferred pending the completion of the separate "Federal Email Management Report" sent directly to the Agency Records Officers.)</i></p> |
| 3. | <p>Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)</p> <p><input type="checkbox"/> <u>Yes</u></p> |
| 4. | <p>Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)</p> <p><i>DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.</i></p> <p><input type="checkbox"/> <u>Yes</u> - If Yes, please describe this progress.</p> <p>USCENTCOM is in the process of ensuring all information in every SharePoint repository will have mandatory metadata applied (records series) at time of creation. All information with our Records Management Application Hewlett Packard© Enterprise Content Manager (HPECM) has the record series applied at declaration. Our NIPRNet email is now hosted by Defense Enterprise Email (DEE) and our top GO/FO personnel are journaled. Those journaled emails are then retrieved and placed into HPECM for long term retention. Our USCENTCOM SIPRNet exchange environment automatically journals all top personnel into HPECM, but after we have fully migrated to DEE on SIPRNet we will mirror our NIPRNet process. Interaction with and retrieval through DEE is not a simplified process and is likely impacting other Combatant Commands / Agencies / Organizations.</p> <p>The USCENTCOM RM office has started integrating with our portfolio management process to allow RM to see all data within the Command and ensure it is being managed and identified appropriately.</p> |

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| <p>5.</p> | <p>Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)</p> <p><input type="checkbox"/> Yes – USCENTCOM has already digitized all permanent records identified at the HQ and within our Area of Responsibility. We will retain this scanning capability to support future digitization as additional records are identified. No Microfiche, microfilm, analog video or analog audio has been found at HQ USCENTCOM.</p> |
| | |
| <p>6.</p> | <p>Have you, as the SAORM, taken steps to include records management as a key component of your agency’s information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19) DoD SAORM will provide this response. No DoD Component input is required.</p> |

APPENDIX D-5

United States European Command SAORM Report

HQ EUCOM POC:

Latrice Bader

Command Records Manager

Unit 30400 APO AE 09131

314-430-4458

Latrice.bader.civ@mail.smil.mil

3. Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Par I, Section 2.5)? No, EUCOM did not have any unscheduled records to report to NARA. All official records fall into the existing 12 categories provided in CJCSM 5760.01A Vol. II.

4. Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1) Yes, EUCOM recently (Sep 2016) purchased Gimmel which is an add-on to Sharepoint to electronically manage all official records. Also, the records management office promoted a “scan and shred” initiative to decrease paper files in the command.

5. Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1) Yes, this year the records management office collected paper (permanent) records year 1980 and earlier and scanned records containing 10 pages or less. Gathering, reviewing, scanning and shredding reduced the paper by at least 60%.

APPENDIX D-6

United States Northern Command SAORM Report

Greetings! Welcome to the SAO Report. Please only provide information for the questions that are highlighted in yellow. This includes the Component contact information on the first page. For Question 3, Please let us know if your component has any collections of Non-Electronic records that are not scheduled or do not currently have a retention in the JS/CCMD Disposition Schedule, CJCSM 5760.01A, Vol. II. Joint Staff will provide the rest of the response to DoD/CIO for that question.

**Senior Agency Official for Records Management
2016 Annual Report
DoD Component Input from USNORTHCOM**

The DoD SAORM will be submitting the annual report to NARA as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

- DoD Component Point of Contact: Sandra M. McAfee-Symons, DAF
- Position title: Command Records Manager
- Address : N-NC/CSC, 250 Vandenberg St., Ste B016, Peterson AFB, CO 80914
- Office telephone number: 719 554-3858
- Email: sandra.m.mcafee-symons.civ@mail.mil

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| 1. | What agencies, bureaus, components, or offices are covered by this report and your position as SAORM? <i>(DoD SAORM will provide this response. No DoD Component input is required.)</i> |
| 2. | Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19) <i>(No DoD Component input is required at this time. This question is being deferred pending the completion of the separate “Federal Email Management Report” sent directly to the Agency Records Officers.)</i> |
| 3. | Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5) |

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| | X Yes |
| 4. | <p>Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)</p> <p><i>DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.</i></p> <p>X Yes - Describe this progress. Conducted audit of approved file plans to identify organizations with permanent record series. Validated records locations to ensure ALL permanent records were in electronic format.</p> |
| 5. | <p>Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)</p> <p>X Yes - Please describe your specific plans or actions. Process is published and requirement is trained during Records Officers orientation. Projected to audit the electronic RM application permanent record series containers for content. Empty containers will be scrutinized for missing content. Will also look into possibility of hiring Summer hire/Reservists to scan previously held original hard copy records into electronic copy.</p> |
| 6. | <p>Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19) DoD SAORM will provide this response. No DoD Component input is required.</p> |

APPENDIX D-7

United States Pacific Command SAORM Report

Greetings! Welcome to the SAO Report. Please only provide information for the questions that are highlighted in yellow. This includes the Component contact information on the first page. For Question 3, Please let us know if your component has any collections of Non-Electronic records that are not scheduled or do not currently have a retention in the JS/CCMD Disposition Schedule, CJCSM 5760.01A, Vol. II. Joint Staff will provide the rest of the response to DoD/CIO for that question.

**Senior Agency Official for Records Management
2016 Annual Report
DoD Component Input from USPACOM**

The DoD SAORM will be submitting the annual report to NARA as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- **As noted in the template, some questions will be answered by the DoD SAORM and do not require Component input.**
- 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. NARA plans to post your 2016 SAORM report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies.

Provide the following information (required):

- Donald C. Gladney
- USPACOM, Command Records Manager
- 1 Elrod Road, Bldg 700 Rm 320, Camp H.M. Smith, HI 96868
- (808) 477-7798
- donald.gladney@pacom.mil

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| 1. | <p>What agencies, bureaus, components, or offices are covered by this report and your position as SAORM? <i>(DoD SAORM will provide this response. No DoD Component input is required.)</i></p> |
| 2. | <p>Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)</p> <p><i>(No DoD Component input is required at this time. This question is being deferred pending the completion of the separate "Federal Email Management Report" sent directly to the Agency Records Officers.)</i></p> |
| 3. | <p>Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No - If No, please list which part of your agency or components did not and why? No. This area is still in the works within the HQ USPACOM and USFJ. There is a need for a Civilian Records Officer billet at USFJ because when temporary personnel are assigned to perform Records Management responsibilities, they either don't have the experience or little qualifications to make them successful or they may have competing priorities due to Records Management not being their primary concern. Unlike other post-war organizations, USFJ relies heavily on post-war paper records when collaborating with the Government of Japan (GOJ). USFK's Records Officer was tasked to help with uplifting the program but this temporary fix isn't enough because an experienced person that knows what to do and how to get things done are invaluable.</p> <p>At HQ USPACOM, manning issues reside but Records Management is currently being deployed. With the last sequestration cuts, 10 of the 15 personnel certified by NARA lost their positions or placed in areas where Records Management was no longer part of their duties while others found employment at other organizations. I've been tasked for more than a year with Privacy Act and Publications and Forms Management programs for the Command once the Administrative Branch was dissolved. Along with being overtasked, it's been a struggle getting certified resources and are contributing factors in the delay. USPACOM will continue to update leadership on progression.</p> |
| 4. | <p>Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)</p> <p><i>DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.</i></p> <p><input type="checkbox"/> Yes - If Yes, please describe this progress.</p> |

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| | <input type="checkbox"/> No - If No, please list which part of your agency or components did not and why? |
| | <p>Yes. Most of the organizations are using electronic applications/repositories for storing their record documents. The only issue would be funding, training, and the face-to-face time required to fully execute with email records being a good example. At USPACOM, we are looking into the DEOS concept by using DEPS but have been encountering concerns when discussing RM matters with DISA. As time gets closer, USPACOM will continue to update leadership.</p> |
| 5. | <p>Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please describe your specific plans or actions.</p> |
| | <p>No. Although a formal plan has not been addressed with digitization, discussions were done with all Visual Graphics personnel, Historians, Public Affairs and Protocol offices that seem to have the bulk of these types of records. This area will be addressed when we shift our focus to managing all permanent electronic records. USPACOM will continue to update leadership.</p> |
| 6. | <p>Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19) DoD SAORM will provide this response. No DoD Component input is required.</p> |

APPENDIX D-8

United States Southern Command SAORM Report

Greetings! Welcome to the SAO Report. Please only provide information for the questions that are highlighted in yellow. This includes the Component contact information on the first page. For Question 3, Please let us know if your component has any collections of Non-Electronic records that are not scheduled or do not currently have a retention in the JS/CCMD Disposition Schedule, CJCSM 5760.01A, Vol. II. Joint Staff will provide the rest of the response to DoD/CIO for that question.

***Senior Agency Official for Records Management
2016 Annual Report
DoD Component Input from US Southern Command***

The DoD SAORM will be submitting the annual report to NARA as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- **As noted in the template, some questions will be answered by the DoD SAORM and do not require Component input.**
- 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. NARA plans to post your 2016 SAORM report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies.

Provide the following information (required):

- DoD Component Point of Contact: Ms. Lisa Gallegos
- Position title: Command Records Manager
- Address: 9301 NW 33rd Street, Doral, FL 33172
- Office telephone number: 305-437-2001
- Email: lisa.r.gallegos.civ@mail.mil

| | |
|----|--|
| 1. | <p>What agencies, bureaus, components, or offices are covered by this report and your position as SAORM? (DoD SAORM will provide this response. No DoD Component input is required.)</p> |
| 2. | <p>Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)</p> <p><i>(No DoD Component input is required at this time. This question is being deferred pending the completion of the separate "Federal Email Management Report" sent directly to the Agency Records Officers.)</i></p> |
| | <p><i>USSOUTHCOM's policy is to move a .pdf copy of record email from in/out boxes to corresponding e-record program/project folders on share drives/Sharepoint portal libraries.</i></p> |
| 3. | <p>Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)</p> <p><input checked="" type="checkbox"/> Yes; Our record schedule is approved as media-neutral. All known record types are\have been submitted for scheduling.</p> <p><input type="checkbox"/> No - If No, please list which part of your agency or components did not and why?</p> |
| 4. | <p>Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)</p> <p><i>DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.</i></p> <p><input checked="" type="checkbox"/> Yes –</p> <ul style="list-style-type: none"> <input type="checkbox"/> SOUTHCOM Reg 57-1, RM Program requires all records to be managed throughout the lifecycle in electronic form whenever possible. Exceptions to policy must be approved by the CMD RM. <input type="checkbox"/> All e-records are contained in folders names after file codes; Sub-buckets ending in -04 designate permanent records. <input type="checkbox"/> Permanent records on share drives are manually ID' for archive. Permanent records on Sharepoint are automatically ID' for archive. <p><input type="checkbox"/> No - If No, please list which part of your agency or components did not and why?</p> |
| 5. | <p>Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)</p> <p><input checked="" type="checkbox"/> Yes –</p> |

| | |
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| | <ul style="list-style-type: none"> ○ Permanent Records determined to have long-term business value have been identified for scanning, prior to accessioning to the National Archive. ○ Currently available digitized permanent record sets will be offered to the National Archives when ERA is made available to SOUTHCOM. ○ Scan project for SCO Guatemala’s Foreign Training program files are scheduled for scanning in March 2017. <input type="checkbox"/> No Please describe your specific plans or actions. |
| | |
| 6. | Have you, as the SAORM, taken steps to include records management as a key component of your agency’s information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19) DoD SAORM will provide this response. No DoD Component input is required. |

APPENDIX D-9

United States Special Operations Command SAORM Report

Greetings! Welcome to the SAO Report. Please only provide information for the questions that are highlighted in yellow. This includes the Component contact information on the first page. For Question 3, Please let us know if your component has any collections of Non-Electronic records that are not scheduled or do not currently have a retention in the JS/CCMD Disposition Schedule, CJCSM 5760.01A, Vol. II. Joint Staff will provide the rest of the response to DoD/CIO for that question.

**Senior Agency Official for Records Management
2016 Annual Report
DoD Component Input from U.S. Special Operations Command**

The DoD SAORM will be submitting the annual report to NARA as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- **As noted in the template, some questions will be answered by the DoD SAORM and do not require Component input.**
- 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. NARA plans to post your 2016 SAORM report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies.

Provide the following information (required):

- **DoD Component Point of Contact:** Mr. Clyde Iverson
- **Position title:** Command Records Manager
 - **Address:** 7701 Tampa Point Blvd, MacDill Air Force Base, FL 33621-5323
- **Office telephone number:** (813) 826-4221
- **Email:** clyde.iverson@socom.mil

| | |
|----|--|
| 1. | <p>What agencies, bureaus, components, or offices are covered by this report and your position as SAORM? (DoD SAORM will provide this response. No DoD Component input is required.)</p> |
| 2. | <p>Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)</p> <p><i>(No DoD Component input is required at this time. This question is being deferred pending the completion of the separate "Federal Email Management Report" sent directly to the Agency Records Officers.)</i></p> |
| 3. | <p>Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)</p> <p><input checked="" type="checkbox"/> X Yes</p> <p><input type="checkbox"/> No - If No, please list which part of your agency or components did not and why?</p> |
| 4. | <p>Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)</p> <p><i>DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.</i></p> <p><input checked="" type="checkbox"/> XX Yes - If Yes, please describe this progress. The U.S. Special Operations Command (USSOCOM) has purchased Hewlett-Packard Records Manager (HPRM) software and enterprise licensing to utilize for capturing all permanent electronic records for the USSOCOM enterprise.</p> <p><input type="checkbox"/> No - If No, please list which part of your agency or components did not and why?</p> |
| 5. | <p>Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)</p> <p><input type="checkbox"/> Yes</p> <p><input checked="" type="checkbox"/> No - There is no master plan that covers the entire USSOCOM enterprise but individual organizations and offices have internal plans created. Most plans are based on when time is available or when they need to review the original then they will digitize the items at that time.</p> |

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| | Please describe your specific plans or actions. |
| | |
| 6. | Have you, as the SAORM, taken steps to include records management as a key component of your agency’s information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19) DoD SAORM will provide this response. No DoD Component input is required. |

APPENDIX D-10

United States Strategic Command SAORM Report

Greetings! Welcome to the SAO Report. Please only provide information for the questions that are highlighted in yellow. This includes the Component contact information on the first page. For Question 3, Please let us know if your component has any collections of Non-Electronic records that are not scheduled or do not currently have a retention in the JS/CCMD Disposition Schedule, CJCSM 5760.01A, Vol. II. Joint Staff will provide the rest of the response to DoD/CIO for that question.

**Senior Agency Official for Records Management
2016 Annual Report
DoD Component Input from *United States Strategic Command*
(USSTRATCOM)**

The DoD SAORM will be submitting the annual report to NARA as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- **As noted in the template, some questions will be answered by the DoD SAORM and do not require Component input.**
- 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. NARA plans to post your 2016 SAORM report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies.

Provide the following information (required):

- DoD Component Point of Contact: Mr. Charles S. Yasik, DAFC
- Position title: Command Records Manager
- Address: USSTRATCOM/J010, 901 SAC Blvd., STE 2F3, Offutt AFB, NE 68113
- Office telephone number: (402) 232-3218 / DSN 271-3218
- Email: NIPR: charles.s.yasik.civ@mail.mil / SIPR: charles.s.yasik.civ@mail.smil.mil

| | |
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| 1. | <p>What agencies, bureaus, components, or offices are covered by this report and your position as SAORM? <i>(DoD SAORM will provide this response. No DoD Component input is required.)</i></p> |
| 2. | <p>Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)</p> <p><i>(No DoD Component input is required at this time. This question is being deferred pending the completion of the separate “Federal Email Management Report” sent directly to the Agency Records Officers.)</i></p> |
| 3. | <p>Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)</p> <p>* Yes</p> |
| 4. | <p>Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)</p> <p><i>DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.</i></p> <p>* Yes - If Yes, please describe this progress. In preparation for Command’s future move to a new facility in 2019, along with M-12-18’s Goal 1.1 deadline, a process was implemented at USSTRATCOM that directs all personnel to scan their hard copy documents that are required for retention, and file (drag and drop) them into their Office of Record’s electronic file plan located on their NIPR/SIPR restricted drives so they can be automatically transferred, via document queues, into the Command’s official records repository known as Hewlett-Packard Records Manager (HPRM); for TS, records will be manually monitored by File Custodians (FCs) for retention and disposition. Each Quarter, FCs provide a status report to their Directorate Records Officer (DRO); the DRO monitors the progress that their Directorate is making, with Command Records Manager (CRM) oversight, to ensure all hard copy records are converted (scanned) as a “.pdf” and place in electronic file plan for retention until their disposition is met for destruction (temporary records) or transferred to NARA for permanent storage. Note: All Command personnel have the ability to “drag and drop” official records into their “Office of Record’s” electronic file plan and have “read only” web-based access to HPRM.</p> |

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| <p>5.</p> | <p>Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)</p> <p>* Yes - Please describe your specific plans or actions. Answer to this question is similar to Question 4 of this SAO Report; however, to evaluate our process at USSTRATCOM, another internal Staff Assistant Visit (SAV), last SAV was performed in 2015, will be conducted by the Command Records Manager (CRM) in May-July 2017 timeframe to ensure compliance is being met. This process directs all personnel to scan hard copy documents, that are required for retention (this includes permanent records), and file (drag and drop) them into their electronic file plan created on NIPR/SIPR restricted drives to be automatically transferred, via document queues, into Hewlett-Packard Records Manager (HPRM); TS records will be manually monitored by File Custodians (FCs) for retention and disposition. Each Quarter, FCs provide a status report to their Directorate Records Officer (DRO); the DRO monitors the progress that their Directorate is making, with CRM oversight, to ensure all permanent hard copy records are converted (scanned) as a “.pdf” and place in HPRM. Note: This process is reflected in our Strategic Command Instruction (SI) 930-01, Records Management Program; along with CRM’s briefing slides to Newcomers at Command Orientation, and taught during Records Management Training events.</p> |
| | |
| <p>6.</p> | <p>Have you, as the SAORM, taken steps to include records management as a key component of your agency’s information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19) DoD SAORM will provide this response. No DoD Component input is required.</p> |

APPENDIX D-11

United States Transportation Command SAORM Report

Greetings! Welcome to the SAO Report. Please only provide information for the questions that are highlighted in yellow. This includes the Component contact information on the first page. For Question 3, Please let us know if your component has any collections of Non-Electronic records that are not scheduled or do not currently have a retention in the JS/CCMD Disposition Schedule, CJCSM 5760.01A, Vol. II. Joint Staff will provide the rest of the response to DoD/CIO for that question.

**Senior Agency Official for Records Management
2016 Annual Report
DoD Component Input from **USTRANSCOM****

The DoD SAORM will be submitting the annual report to NARA as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- **As noted in the template, some questions will be answered by the DoD SAORM and do not require Component input.**
- 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. NARA plans to post your 2016 SAORM report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies.

Provide the following information (required):

- DoD Component Point of Contact: April N. Simpson
- Position title: Command Records Manager
- Address: United States Transportation Command
508 Scott Drive
Scott Air Force Base 62225
- Office telephone number: 618-220-4348
- Email: april.price-simpson.civ@mail.mil

| | |
|----|---|
| 1. | <p>What agencies, bureaus, components, or offices are covered by this report and your position as SAORM? (DoD SAORM will provide this response. No DoD Component input is required.)</p> |
| | <p>The agency covered by this report is the United States Transportation Command and I am the Command Records Manager.</p> |
| 2. | <p>Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)</p> <p><i>(No DoD Component input is required at this time. This question is being deferred pending the completion of the separate "Federal Email Management Report" sent directly to the Agency Records Officers.)</i></p> |
| | <p>Yes, we met the M-12-18 target goal 1.2 to manage all email records in a electronic format by December 31, 2016. DISA has a system that runs in the background that captures all temporary and permanent</p> |
| 3. | <p>Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)</p> <p>X <input type="checkbox"/> Yes <input type="checkbox"/> No - If No, please list which part of your agency or components did not and why?</p> |
| | <p>Yes our agency and its components met the M-12-18 deadline to schedule all existing paper and non-electronic records by December 31, 2016. This function is managed by Joint Staff.</p> |
| 4. | <p>Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)</p> <p><i>DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS Acquisition and its use for managing permanent electronic records.</i></p> <p>x <input type="checkbox"/> Yes - If Yes, please describe this progress. <input type="checkbox"/> No - If No, please list which part of your agency or components did not and why?</p> |
| | <p>Yes our agency and its components are making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically. We currently have Hewlett Packard Records Management to store records.</p> |
| 5. | <p>Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)</p> <p>X <input type="checkbox"/> Yes <input type="checkbox"/> No</p> |

| | |
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| | Please describe your specific plans or actions. |
| | Yes we have taken action to evaluate and implement the digitization of permanent records created in hard copy. We are currently scanning and moving records to the records repository in order to store permanent record. We will continue to look for a solution that allows records to automatically be transferred into a records repository according to its disposition. |
| 6. | Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19) DoD SAORM will provide this response. No DoD Component input is required. |

APPENDIX E

Office of the Secretary of Defense Component SAORM Report

**Senior Agency Official for Records Management
2016 Annual Report
DoD Component Input from the Office of the Secretary of Defense**

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- As noted in the template, some questions will be answered by the DoD SAORM and do not require Component input.
- 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. NARA plans to post your 2016 SAORM report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies.

Provide the following information (required):

- DoD Component Point of Contact
Ms. Luz D. Ortiz
- Position title
OSD Records Administrator & Chief Records, Privacy and Declassification Division
- Address
Office of the Secretary of Defense, Washington Headquarters Services,
Records, Privacy and Declassification Division (RPD2)
4800 Mark Center Ave
Alexandria, VA
- Office telephone number
571-372-0478
- Email
Luz.D.Ortiz.civ@Mail.Mil

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

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

2. **Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)**

No DoD Component input is required at this time. This question is being deferred pending the completion of the separate "Federal Email Management Report" sent directly to the Agency Records Officers.

3. **Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)**

Yes

No

If No, please list which part of your agency or components did not and why?

4. **Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)**

DoD Note: If you are planning to use Defense Enterprise Office Solution (DEOS). (DEOS), please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

Yes

No

If Yes, please describe this progress.

The OSD Records Administrator (WHS/RPDD) will continue to coordinate with JSP/DISA to ensure that records and information management requirements are built into DEOS and that JSP/DISA is compliant with Federal and DoD Records Management regulations.

5. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

Yes
 No

Please describe your specific plans or actions.

Created in 2008, the Office of the Secretary of Defense (OSD) Executive Archive (EA) is an electronic repository with over 50 million pages of permanent OSD historical and sensitive records, classified up to Top Secret/SCI. The EA is both a historical archive for permanent OSD records and is a text-searchable information access and e-Discovery tool used to provide valuable historical information to decision makers across the Federal Government. NARA has approved the OSD EA as a recordkeeping tool for OSD. To date, the OSD EA has digital record collections for Secretaries of Defense Rumsfeld, Gates, Panetta and Hagel, and CAPSTONE Officials such as:

DoD/CIO: Mr. Carey, Ms. Takai

ASD Health Affairs: Mr. Wightman, Dr. Guice and Dr. Woodson

DoD/OGC: Mr. Preston

USD(I): Mr. Vickers

USD (P&R): Ms. Wright, Ms. Junor

WHS: Ms. Yarwood, Ms. Young,

PFFA: Mr. Calvery

The OSD EA also includes special digital record collections relating to the Collation Provisional Authority (CPA), the Fort Hood and Navy Yard Shootings, and the Church Report.

6. **Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)**

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

APPENDIX F

Independent Agency Input to DoD SAORM Report

APPENDIX F-1

Army Air Force Exchange Services

Senior Agency Official for Records Management
2016 Annual Report
DoD Component Input from *the Army and Air Force Exchange Service*

The DoD SAORM will be submitting the annual report to NARA as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- As noted in the template, some questions will be answered by the DoD SAORM and do not require Component input.
- 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. NARA plans to post your 2016 SAORM report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies.

Provide the following information (required):

- DoD Component Point of Contact: **Shanna Jones**
- Position title: **Records Officer**
- Address: **3911 S. Walton Walker Blvd., Dallas, TX 75236**
- Office telephone number: **214-312-2283**
- Email: jonesshanna@aafes.com

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

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

2. Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)

No DoD Component input is required at this time. This question is being deferred pending the completion of the separate "Federal Email Management Report" sent directly to the Agency Records Officers.

3. **Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)**

Yes

No

If No, please list which part of your agency or components did not and why?

4. **Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)**

DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

Yes

No

If Yes, please describe this progress.

The records have been identified and data collected on each of the records series', such as: Record Series number, Description, format media and type, volume, Date Range, Current Processes, Average monthly increase in volume, retention, and future search requirements.

A project has been set up with our project management office including security of funds for completion.

Points of contacts have been assigned to the project.

The RM system to store the records has been identified with the assistance of IT.

If No, please list which part of your agency or components did not and why?

5. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

Yes

No

Please describe your specific plans or actions. **Scanning contractors have been included in the project budget.**

- 6. Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)**

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

APPENDIX F-2

Defense Commissary Agency

Senior Agency Official for Records Management
2016 Annual Report
DoD Component Input from < Defense Commissary Agency (DeCA)>

The DoD SAORM will be submitting the annual report to NARA as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- As noted in the template, some questions will be answered by the DoD SAORM and do not require Component input.
- 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. NARA plans to post your 2016 SAORM report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies.

Provide the following information (required):

- DoD Component Point of Contact **Carol Chambliss**
- Position title **Records Officer**
- Address **1300 E Avenue, Fort Lee, VA 23801**
- Office telephone number **(804) 734-8000 ext. 48841**
- Email **carol.chambliss@deca.mil**

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

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

2. Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)

No DoD Component input is required at this time. This question is being deferred pending the completion of the separate "Federal Email Management Report" sent directly to the Agency Records Officers.

3. **Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)**

Yes

If No, please list which part of your agency or components did not and why?

4. **Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)**

DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

Yes

If Yes, please describe this progress.

- **Established an Integrated Processing Team (IPT) to address program mandates.**
- **CIO assigned a project manager to manage progress for meeting requirement by the 12/31/2019 mandate.**
- **Evaluated and identified all permanent records by type.**
- **Ensured all permanent records are scheduled with NARA by the NARA/OMB suspense date (NOTE: Less than 1 percent of the Agency records have been determined as permanent by NARA).**
- **Purchased scanners to digitize paper records**
- **Conducting ongoing market research to select the best possible solution (to include cloud technologies) to manage, store, and transfer permanent records in electronic format.**
- **DeCA has conducted an analysis of all hardware and software within the Agency to include what DeCA currently uses for records management. Based upon two key cloud services providers gaining level 4 access in mid-2016, DeCA is in the planning stages of migrating applications, to include records management, between FY 2018 and FY 2019.**
- **NOTE: Less than 1 percent of the Agency records have been determined as permanent by NARA.**

If No, please list which part of your agency or components did not and why?

5. Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)

Yes

Please describe your specific plans or actions.

- Established an Integrated Processing Team (IPT) to address program mandates.
- CIO assigned a project manager to manage progress for meeting requirement by the 12/31/2019 mandate.
- Evaluated and identified all permanent records by type.
- Ensured all permanent records are scheduled with NARA by the NARA/OMB suspense date (NOTE: Less than 1 percent of the Agency records have been determined as permanent by NARA).
- Purchased scanners to digitize paper records
- Conducting ongoing market research to select the best possible solution (to include cloud technologies) to manage, store, and transfer permanent records in electronic format
- DeCA has conducted an analysis of all hardware and software within the Agency to include what DeCA currently utilizes for Records Management. Based upon two key cloud services providers gaining level 4 access in mid-2016, DeCA is in the planning stages of migrating applications, to include records management, between FY 2018 and FY 2019.
- NOTE: Less than 1 percent of the Agency records have been determined as permanent by NARA.

6. Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)

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

APPENDIX F-3

Defense Contract Audit Agency

Senior Agency Official for Records Management
2016 Annual Report
DoD Component Input from *Defense Contract Audit Agency*

The DoD SAORM will be submitting the annual report to NARA as required by the [OMB/NARA *Managing Government Records Directive \(M-12-18\)*](#). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- As noted in the template, some questions will be answered by the DoD SAORM and do not require Component input.
- 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. NARA plans to post your 2016 SAORM report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies.

Provide the following information (required):

- DoD Component Point of Contact: Michael McVay
- Position title : Records and Forms Management Officer
- Address: DCAA/CMC
8725 John J. Kingman Rd., Suite 2135
Ft. Belvoir, VA 22060
- Office telephone number (571)448-3154
- Email: Michael.McVay@dcaa.mil

1. What agencies, bureaus, components, or offices are covered by this and your position as SAORM?

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

2. Did your agency and components meet the M-12-18, target goal 1.2 manage all email records in an electronic format by December 31, (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)

No DoD Component input is required at this time. This question is being deferred pending the completion of the separate "Federal Email Management Report" sent directly to the Agency Records Officers.

3. Did your agency and its components meet the M-12-18 target deadline schedule all existing paper and non-electronic records by December 2016? (M-12-18, Part I, Section 2.5)

- Yes
 No

If No, please list which part of your agency or components did not and why?

4. Is your agency and its components making progress toward meeting M-12-18 deadline to manage all permanent electronic electronically? (M-12-18, Goal 1.1)

DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

- Yes We are planning on managing our permanent records in the electronic native format (unstructured and structured), and by using our current scanning capability to upload documents into our RMA.
 No

If Yes, please describe this progress.

If No, please list which part of your agency or components did not and why?

5. Has your agency developed plans or taken actions to evaluate implement the digitization of permanent records created in hard copy other analog formats (e.g., microfiche, microfilm, analog video, audio)? (M-12-18 Goal 1.1)

- Yes
 No See item 4.

Please describe your specific plans or actions.

6. Have you, as the SAORM, taken steps to include records management as key component of your agency's information resources management

**strategy in accordance with the
Information as a Strategic
Resource**

**OMB Circular A-130, Managing
? (OMB A-130 5.h, page 19)**

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

APPENDIX F-4

Defense Contract Management Agency

Senior Agency Official for Records Management
2016 Annual Report
DoD Component Input from Defense Contract Management Agency

The DoD SAORM will be submitting the annual report to NARA as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- As noted in the template, some questions will be answered by the DoD SAORM and do not require Component input.
- 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. NARA plans to post your 2016 SAORM report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies.

Provide the following information (required):

- DoD Component Point of Contact: Tempestt Griffin
- Position title: Information Management Systems Specialist
- Address: 3901 A Avenue, Bldg 10500, Fort Lee Virginia, 23801
- Office telephone number: 804-734-1654
- Email: tempestt.griffin@dcma.mil

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

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

2. Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)

No DoD Component input is required at this time. This question is being deferred pending the completion of the separate "Federal Email Management Report" sent directly to the Agency Records Officers.

3. **Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)**

Yes
 No

If No, please list which part of your agency or components did not and why?

4. **Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)**

DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

Yes
 No

If Yes, please describe this progress.

If No, please list which part of your agency or components did not and why?

Starting in February 2017, DCMAIT will begin migrating 14+ million electronic records from HP Trim to Gimmel Compliance Suite Pro, a DoD 5015.02-compliant records management add-in for Microsoft SharePoint 2016.

5. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

Yes
 No

Please describe your specific plans or actions.

DCMA has not yet formalized its process for digitizing historical temporary or permanent hard copy documents. The decision to digitize historical records will be based on a number of factors to include but not limited to: need (value), resources (hardware, software, or personnel) to convert records to properly convert records to digital format, and record type and projected retention date.

6. **Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)**

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

APPENDIX F-5

Defense Finance and Accounting Service

Senior Agency Official for Records Management
2016 Annual Report
DoD Component Input from *Defense Finance and Accounting Service*
(DFAS)

The DoD SAORM will be submitting the annual report to NARA as required by the [OMB/NARA *Managing Government Records Directive \(M-12-18\)*](#). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- As noted in the template, some questions will be answered by the DoD SAORM and do not require Component input.
- 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. NARA plans to post your 2016 SAORM report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies.

Provide the following information (required):

- Ralph E. Mullins
- Agency Records Program Manager
- 8899 E. 56th Street, ATTN: Records Manager (Mullins) COL 218R, Indianapolis, IN 46229-0201
- 317-212-7775
- Ralph.e.mullins.civ@mail.mil

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

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

2. Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)

No DoD Component input is required at this time. This question is being deferred pending the completion of the separate "Federal Email Management Report" sent directly to the Agency Records Officers.

- 3. Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)**

Yes

- 4. Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)**

DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

Yes

The permanent records for the agency are being prepared for scanning into electronic storage format.

- 5. Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

Yes

All of the agency's permanent records will be scanned and stored in Portable Document Format (PDF) for future transfer capability.

- 6. Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)**

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

APPENDIX F-6

Defense Information Systems Agency

Senior Agency Official for Records Management
2016 Annual Report
DoD Component Input from *Defense Information Systems Agency*

The DoD SAORM will be submitting the annual report to NARA as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- As noted in the template, some questions will be answered by the DoD SAORM and do not require Component input.
- 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. NARA plans to post your 2016 SAORM report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies.

Provide the following information (required):

- DoD Component Point of Contact: Benjamin J. Smith
- Position title: Agency Records Officer
- Address: P.O. Box 549 Fort Meade, MD 21144
- Office telephone number: (301) 225-8166
- Email: Benjamin.j.smith18.civ@mail.milS

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

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

2. Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)

***No DoD Component input is required at this time.** This question is being deferred pending the completion of the separate "Federal Email Management Report" sent directly to the Agency Records Officers.*

3. **Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)**

Yes
 No

DISA have scheduled all identified paper and non-electronic records before 31 December 2016. NARA's General Records Schedules (GRS) cover the Agency's paper and non-electronic records.

4. **Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)**

DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

Yes
 No

If Yes, please describe this progress.

DISA is making significant progress in managing all permanent electronic records by acquiring a DoD 5015.02-STD certified records management application to automate and centralize the management of all permanent records electronically throughout the lifecycle.

5. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

Yes
 No

Please describe your specific plans or actions.

DISA's hard copy permanent records are located at one or more of NARA's Federal Records Center. The majority of these legacy records are from 1974 –1980s under the Defense Communications Agency. DISA plan is not to pull these documents from an

FRC to digitize but allow the accession to NARA in their original format. All future paper permanent records will be digitized for preservation.

6. **Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)**

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

APPENDIX F-7

Defense Logistics Agency

Senior Agency Official for Records Management
2016 Annual Report
DoD Component Input from *Defense Logistics Agency (DLA)*

The DoD SAORM will be submitting the annual report to NARA as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- As noted in the template, some questions will be answered by the DoD SAORM and do not require Component input.
- 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. NARA plans to post your 2016 SAORM report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies.

Provide the following information (required):

- DoD Component Point of Contact: Cecilia Wiker
- Position title: Agency Records Officer
- Address: 74 Washington Ave, N
- Office telephone number: 269-961-4846
- Email: Cecilia.Wiker@dla.mil

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

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

2. Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)

No DoD Component input is required at this time. This question is being deferred pending the completion of the separate "Federal Email Management Report" sent directly to the Agency Records Officers.

3. **Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)**

Yes

No

If No, please list which part of your agency or components did not and why?

4. **Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)**

DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

Yes

No

If Yes, please describe this progress.

I. DLA has implemented an electronic records management application (RMA) which will enable electronic records to be transferred to NARA based on the records schedule transfer requirements.

If No, please list which part of your agency or components did not and why?

5. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

Yes

No

Please describe your specific plans or actions.

DLA will begin conducting an agency-wide inventory of its records assets in FY17 and will identify any permanent records that are in hard copy or other analog formats that require digitization and subsequent transfer to NARA.

6. **Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management**

strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)

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

APPENDIX F-8

Defense Security Service

Senior Agency Official for Records Management
2016 Annual Report
DoD Component Input from Defense Security Service

The DoD SAORM will be submitting the annual report to NARA as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- As noted in the template, some questions will be answered by the DoD SAORM and do not require Component input.
- 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. NARA plans to post your 2016 SAORM report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies.

Provide the following information (required):

- Ron White
- Records Management Specialist
- 27130 Telegraph Road Quantico, VA
- 571-305-6770
- Ronald.R.White54.civ@mail.mil

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

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

2. Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)

No DoD Component input is required at this time. This question is being deferred pending the completion of the separate "Federal Email Management Report" sent directly to the Agency Records Officers.

3. **Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)**

Yes

No

4. **Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)**

DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

Yes

No

DSS has few permanent electronic records. We are using SharePoint as a temporary solution, but are looking at more long term solutions including DEOS.

5. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

Yes

No

We have contacted our FRC account rep about scanning services available to implement digitization of permanent paper records.

6. **Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)**

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

APPENDIX F-9

Defense Technical Information Center

**Senior Agency Official for Records Management
2016 Annual Report
DoD Component Input from Defense Technical Information Center**

The DoD SAORM will be submitting the annual report to NARA as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- As noted in the template, some questions will be answered by the DoD SAORM and do not require Component input.
- 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. NARA plans to post your 2016 SAORM report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies.

Provide the following information (required):

- DoD Component Point of Contact: Jeffrey Hoopes
- Position title: Deputy Director Information Technology Services
- Address: 8725 John J. Kingman rd. Ste# 0723
- Office telephone number: (703) 767-8238
- Email: Jeffrey.w.hoopes.civ@mail.mil

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM? *DoD SAORM will provide this response. No DoD Component input is required.***
2. **Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)**

No DoD Component input is required at this time. This question is being deferred pending the completion of the separate "Federal Email Management Report" sent directly to the Agency Records Officers.

3. Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)

Yes

No

If No, please list which part of your agency or components did not and why?

4. Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)

DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

Yes

No

Implementing a new installation of SharePoint 2013 to replace SharePoint 2010, as recommended by the Joint Interoperability Test Command versus procuring a COTS or GOTS application. Designing the Records Management folder structures and workflows to accommodate the electronic Records Management Schedules. Implementation scheduled to start in Mar 2017. An alternative to this project is the Defense Logistics Agency's Document Automated Content Service (DACS), Records Management that is DoD 5012.2 standard records management certified. This is a fee for service application that has been reviewed for consideration. If the DoD DEOS is the recommended application/process for electronic records management, we would be interested in looking at it.

If Yes, please describe this progress.

If No, please list which part of your agency or components did not and why?

5. Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)

Yes

No

Digitizing permanent records is an ongoing process. DTIC is the DoD's data repository for Science and Technology information consisting of both hard copy publications and various data formats listed above.

6. **Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)**

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

APPENDIX F-10

Defense Threat Reduction Agency

Senior Agency Official for Records Management
2016 Annual Report
DoD Component Input from *Defense Threat Reduction Agency*

The DoD SAORM will be submitting the annual report to NARA as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- As noted in the template, some questions will be answered by the DoD SAORM and do not require Component input.
- 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. NARA plans to post your 2016 SAORM report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies.

Provide the following information (required):

- DTRA SAO: - Ms. Nancy Reeves-Flores SES
- Position Title: Director Information Operations/CIO
- Email Address: nancy.p.reeves-flores.civ@mail.mil
- Office Telephone Number: 703-767-8750
- Address: 8725 John J. Kingman Road - Fort Belvoir, VA 22060
- DoD Component Point of Contact (Records Officer): Earl E. Washington, Jr.
- Position title: IT Specialist – Acting Records Officer
- Address: 8725 John J. Kingman Road – Fort Belvoir, VA 22060
- Office telephone number: 703-767-1686
- Email: earl.e.washington.civ@mail.mil

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

DOD Provided answer: DoD SAORM will provide this response. No DoD Component input is required.

Agency - DTRA

2. **Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)**

DOD Provided Answer: No DoD Component input is required at this time. This question is being deferred pending the completion of the separate "Federal Email Management Report" sent directly to the Agency Records Officers.

DTRA- Meet the mandate for electronic email by implementing DISA email.

3. **Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)**

Yes

No

4. **Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)**

DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

Yes

No

If Yes, please describe this progress. The Defense Threat Reduction Agency has made great progress in meeting the M-12-18 deadline to electronically manage all permanent records. Currently, 90% of all permanent records are physically located on our Network Share Drives, and SharePoint Website. Our email was migrated over a year ago to DEE, and journaling was initiated.

5. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

Yes

No

Please describe your specific plans or actions.

DTRA - No records in these formats

6. **Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)**

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

APPENDIX F-11

Missile Defense Agency

Senior Agency Official for Records Management
2016 Annual Report
DoD Component Input from [the Missile Defense Agency](#)

The DoD SAORM will be submitting the annual report to NARA as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- As noted in the template, some questions will be answered by the DoD SAORM and do not require Component input.
- 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. NARA plans to post your 2016 SAORM report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies.

Provide the following information (required):

- DoD Component Point of Contact: [Bernard Lecarpentier](#)
- Position title: [Agency Records Officer](#)
- Address: [5224 Martin Road, Redstone Arsenal, AL 35898](#)
- Office telephone number: [256-450-5280](#)
- Email: bernard.lecarpentier@mda.mil

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

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

2. Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)

No DoD Component input is required at this time. This question is being deferred pending the completion of the separate "Federal Email Management Report" sent directly to the Agency Records Officers.

3. **Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)**

[Yes](#)

No

If No, please list which part of your agency or components did not and why?

4. **Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)**

DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

[Yes](#)

No

If Yes, please describe this progress. [All known permanent paper records have been digitized. All new permanent records are being generated and stored electronically.](#)

If No, please list which part of your agency or components did not and why?

5. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

[Yes](#)

No

Please describe your specific plans or actions. [This task for the Missile Defense Agency is complete. All known permanent paper records have been digitized.](#)

6. **Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)**

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

APPENDIX F-12

Office of Inspector General

**Senior Agency Official for Records Management
2016 Annual Report
DoD Component Input from Office of the Inspector General**

The DoD SAORM will be submitting the annual report to NARA as required by the OMB/NARA Managing Government Records Directive (M-12-18). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- As noted in the template, some questions will be answered by the DoD SAORM and do not require Component input.
- 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. NARA plans to post your 2016 SAORM report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies.

Provide the following information (required):

- DoD Component Point of Contact: Thomas Jenkins
- Position title: Records and Information Officer
- Address: 4800 Mark Center Dr. Alexandria, VA 22350-1500
- Office telephone number 703.699.9913
- Email: Thomas.jenkins@dodig.mil

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

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

2. Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)

No DoD Component input is required at this time. This question is being deferred pending the completion of the separate "Federal Email Management Report" sent directly to the Agency Records Officers.

3. **Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)**

Yes

No

If No, please list which part of your agency or components did not and why?

4. **Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)**

DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

Yes

No

- DoD OIG acquired an automated electronic recordkeeping system to manage the full life-cycle, including the disposition of permanent electronic records.
- DoD OIG Office of the Chief Information Officer (OCIO) realigned its records management functions to include policy development related to information management, search and retrieval of information for authorized purposes, and information collection and reporting.
- DoD OIG OCIO is currently revising, updating, and consolidating all IG Instructions (policies) relating to electronic information to ensure records are managed consistently across various media and formats.
- DoD OIG OCIO is configuring the automated recordkeeping system to properly identify, categorize, copy, index, store, retrieve, transfer, and delete records on shared drives and SharePoint sites in accordance with established business rules and various laws.
- DoD OIG OCIO is developing an agency-wide functional records schedule commensurate with the automated recordkeeping system.

5. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

Yes

No

DoD OIG took actions to identify and evaluate digitizing paper records. Additionally, DoD OIG acquired and deployed an electronic recordkeeping system to manage all permanent records in an electronic format in accordance with Office of Management and Budget (M-12-18, Goal 1.1). DoD OIG does not create or maintain permanent records in analog formats.

6. **Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)**

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

APPENDIX F-13

National Guard Bureau

**Senior Agency Official for Records Management
2016 Annual Report
DoD Component Input from National Guard Bureau**

The DoD SAORM will be submitting the annual report to NARA as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#). In order to efficiently compile this report, some of the questions will be answered by the DoD SAORM. Other questions require a response from each DoD Component.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- As noted in the template, some questions will be answered by the DoD SAORM and do not require Component input.
- 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. NARA plans to post your 2016 SAORM report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies.

Provide the following information (required):

- DoD Component Point of Contact: *MG Patrick A. Murphy*
- Position title: *Director, National Guard Bureau Joint Staff (DNGBJS)*
- Address: *Offices at both the Pentagon and Arlington Hall Readiness Center, 111 S. George Mason Dr., Arlington, VA 22204*
- Office telephone number:
 - *Arlington Hall Office: c/o LTC Bradley Johns, National Guard Joint Staff Deputy Chief of Staff, (703-607-5794)*
- Email: *bradley.n.johns.mil@mail.mil*

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

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

2. Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)

No DoD Component input is required at this time. This question is being deferred pending the completion of the separate "Federal Email Management Report" sent directly to the Agency Records Officers.

3. Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)

Yes

No

If No, please list which part of your agency or components did not and why?

4. Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)

DoD Note: If you are planning to use DEOS, please note this in your response. The DoD SAORM will be providing an overview of the planned DEOS acquisition and its use for managing permanent electronic records.

Yes

No

If Yes, please describe this progress.

If No, please list which part of your agency or components did not and why?

Email journaling is in place for all National Guard Bureau senior leaders, and is being expanded to all personnel. As new personnel join the staff, all are briefed on their duties and responsibilities with regards to electronic records. Eventually DEOS will be utilized for electronic records management.

5. Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)

Yes

No

Please describe your specific plans or actions.

Research has been conducted into various methods of digitalization of all hard records. It is anticipated additional personnel will be brought on board in CY17 to scan all hard records into the NGB digital records database.

- 6. Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)**

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