



# Senior Agency Official for Records Management

2021 Annual Report

30 March 2022

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

Provide the following information (required):

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

## 1. DoD Components Covered by this Report

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

The Department of Defense (DoD) has a Component SAORM structure to facilitate the role of the DoD SAORM across the Department. Given the distributed authorities set forth by Title 10 of the U.S. Code, the DoD Instruction 5015.02, DoD Records Management Program, updated August 2017, sets the records management (RM) policy for DoD. The instruction delegates the responsibilities for executing this policy to the head of each DoD Component. The DoD SAORM works with the Component SAORMs and the Agency Records Officers to gain the broad reach that is needed to ensure compliance with RM statutes and regulations.

Given the size of DoD and the number of Components with diverse missions, the strategies and solutions for meeting the goals of the Office of Management and Budget/National Archives and Records Administration (OMB/NARA) Transition to Electronic Records (M-19-21) may differ and the implementation progress may be at different points. To best report this to NARA, responses in this report provide the DoD-wide perspective as well as specific responses for DoD Components when applicable. In addition, each detailed response from reporting DoD Components is included in the appendixes.

This report covers all Components of the DoD except for the Intelligence Community agencies (Defense Intelligence Agency, National Geospatial-Intelligence Agency, National Reconnaissance Office, and National Security Agency) and the Office of the Inspector General, which report separately through their own SAORMs.

The National Guard Bureau (NGB)'s response reflects the National Guard Bureau Joint Staff and Office of the Chief of the National Guard Personal and Special Staff. The Army National Guard and Air National Guard have provided input through their respective Military Service.

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

| Component SAORM   | DoD Components Covered                              |
|---|---|
| Mr. Mark Averill<br>Administrative Assistant to the Secretary of the Army | Dept. of Army                                       |
| Ms. Gaye Evans<br>Dept. of the Navy<br>Assistant for Administration       | Dept. of Navy                                       |
| Mr. James Bishop<br>Chief Information Security Officer                    | Dept. of Air Force                                  |
| Mr. Ronald P. Higham, Jr<br>Director of Management, Joint Staff           | Office of the Chairman of the Joint Chiefs of Staff |
|   | National Defense University                         |
|   | US Africa Command                                   |
|   | US Central Command                                  |
|   | US Cyber Command                                    |
|   | US European Command                                 |
|   | US Indo-Pacific Command                             |
|   | US Northern Command                                 |
|   | US Southern Command                                 |
|   | US Space Command                                    |
|   | US Special Operations Command                       |
|   | US Strategic Command                                |
| US Transportation Command   |   |

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

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

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

Yes

- No
- Do not know

The COVID-19 pandemic mostly negatively impacted policies and practices at the DoD Component level. At the DoD level, organizations worked to support users working remotely with new tools while increasing bandwidth and security. For example, DoD implemented a Commercial Virtual Remote environment, which provided ability for users to collaborate while in telework status. This environment has been replaced with an equivalent permanent solution: DoD365. Existing DoD records management policies are being applied to the new environments throughout the Department. The DoD continues to seek improvements to meet the vision for automated management of electronic records.

The following is a synopsis of impacts identified across DoD Components. Further details and additional impacts of the COVID-19 pandemic on records management can be found in the appendixes of this report.

### **Closures and Reduced Operations at NARA Federal Records Centers**

Several Components reported the closures and reduced operations of Federal Records Centers (FRCs) due to the COVID-19 pandemic have negatively impacted records management practices. Components have had difficulties transferring paper records to FRCs due to the minimized number of boxes per shipment and reduced staffing at the FRCs. Components have also encountered roadblocks for retrieving records from and returning records to FRCs.

### **Limited In-Person Operations, Inventories, and Inspections**

DoD Components have been greatly impacted due to limited in-person operations from maximized telework policies. Records management processes, specifically records' transfer to NARA and FRCs, records' destruction, and digitization efforts have been delayed due to limited in-person staff. Oversight has also been hindered due to the inability to conduct on-site records inventories and inspections. As a result, the quality of records management processes and compliance cannot be fully corroborated or enforced. For example, US Central Command (USCENTCOM) has been unable to confirm records management compliance through on-site audits, and the Command has not received records in over a year from some programs.

### **Positive Impacts**

The COVID-19 pandemic positively impacted the Defense Contract Management Agency (DCMA) where their efforts to maintain electronic records and increase awareness on accessibility were accelerated due to the removed environment. The Office of the Secretary of Defense (OSD) also was able to expand their records and information management training program due to the development of collaborative platforms.

## **3. Information Governance Framework**

Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)

- Yes
- No

Do not know

The DoD continues its work to establish stronger relationships with those throughout the information governance framework including, but not limited to, the DoD Chief Data Officer (CDO). The DoD SAORM and Records Officer collaborate with these stakeholders on various initiatives when drafting policies and strategies. For example, the DoD Records Officer collaborated with the DoD CDO to issue preservation guidance for DoD records and data pertaining to the withdrawal from Afghanistan. DoD Records Officers continue to work with the Privacy, Civil Liberties and FOIA Directorate to address records and privacy concerns, including the Directorate's current efforts to consolidate the number of System of Records Notices (SORNs) throughout the Department. In addition, the DoD Records Office is developing a strategy which will encourage closer working relationships between all those involved in information governance such as records management, information management, data management, and knowledge management groups.

DoD Components' information governance frameworks vary from component to component. Many use information flows, coordination processes, or centralized operations to integrate information lines of business. DoD Components who do not have an established information governance framework often still have informal relationships with other stakeholders. Some Components though have identified unfilled or missing positions that prevent the Component from having an established framework such as OSD lacking an OSD Chief Information Officer (CIO) and the Defense Commissary Agency (DeCA) lacking a CDO.

#### 4. Progress Towards Managing All Permanent Records in Electronic Format with Appropriate Metadata

Will your agency meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)

Yes

No

Do not know

Several DoD Components will be meeting the goal to manage and preserve all permanent records in electronic format with the appropriate metadata by December 31, 2022; however, some DoD Components may achieve this goal after the deadline due to limited resources. At the DoD level, the DoD SAORM is providing guidance on records management policy, metadata, and requirements for IT systems and services to assist in this effort. The following DoD Components are still working toward this goal:

- The Army cannot meet the goal due to the effects of the COVID-19 pandemic, budgetary and manpower shortages, and the lack of trained records officials.
- OSD will not meet the goal due to the lack of a long-term storage solution, funding, staffing, and coordination between CIOs, IT, and records management.
- US European Command (USEUCOM) has limited IT resources and more urgent operational priorities which may delay the development of in-house SharePoint records repositories and push achieving the goal after the 2022 deadline.

- US Indo-Pacific Command (USINDOPACOM) has experienced setbacks caused by the COVID-19 pandemic, including the vacancy of the Command Records Manager position for most of 2021, which may delay achieving this goal.
- US Transportation Command (USTRANSCOM) will not meet the goal as they are currently in the process of identifying which directorates are required to maintain permanent records, where they are stored, and what is the volume of the materials. In addition, USTRANSCOM is in the process of establishing a records repository solution to house these electronic records.
- The Defense Logistics Agency (DLA) does not know if they will meet the goal due to the impacts of COVID-19 and the loss of personnel within the records and information management program.
- NGB will not meet this goal since they are currently implementing an organization-wide records inventory, which will inform digitization efforts and use of the General Records Schedule as NGB does not have their own records schedules and dispositions. NGB has had limited ability to conduct in-person records inventory due to COVID-19 restrictions.

## 5. Progress Towards Managing All Temporary Records in Electronic Format

Will your agency meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)

- Yes  
 No  
 Do not know

While several DoD Components will be meeting the goal to manage and preserve all temporary records in an electronic format by December 31, 2022, the following DoD Components are still working on this goal:

- The Army needs to implement additional work and guidance to implement to ensure the proper management and preservation of all temporary records in an electronic format. The COVID-19 pandemic, budgetary and manpower shortages, and the lack of trained records officials are preventing the Army from achieving this goal.
- Joint Staff will not meet the December 31, 2022 deadline due to deploying a new version of the Alfresco Records application in 2022 and conducting an agency-wide records inventory in 2022 to identify locations of all temporary records.
- USEUCOM will not meet the deadline since one office maintains paper records and is currently working with the USEUCOM IT team to digitize their paper processes.
- USINDOPACOM has experienced unexpected setbacks caused by the COVID-19 pandemic including the vacancy of the Combatant Records Manager position for most of 2021; therefore, USINDOPACOM may not meet this goal by the deadline.
- USTRANSCOM still may have some temporary records that are not digitized by the deadline.

- DeCA does not know if they will meet the goal due to logistical challenges, limited resources, and the unavailability of FRCs to accept records during the COVID-19 pandemic.
- DLA does not know if they will meet the goal as there has areas within the Component that rely on paper for long-term records and contract records. DLA is working with these offices on a transition plan to achieve this goal.
- NGB will not meet this goal since they are currently implementing an organization-wide records inventory, which will inform digitization efforts and use of the General Records Schedule as NGB does not have their own records schedules. NGB has had limited ability to conduct in-person records inventory due to COVID-19 restrictions.

## 6. Plans to Submit an Exception to the M-19-21 Requirements

Does your agency have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?

- Yes  
 No  
 Do not know

Several DoD Components plan on submitting an exception: Department of the Air Force (DAF), the Army, Joint Staff, USCENTCOM, USEUCOM, OSD, DeCA, DLA, and NGB. The Department of the Navy (DON), US African Command (USAFRICOM), USINDOPACOM, USTRANSCOM, and DCMA currently do not know if an exception will be needed.

The most common reason for submitting an exception is the need to maintain paper records. While some records and processes are expected to remain in paper form, most exceptions plan on digitizing to the greatest extent possible and meeting the goal at a later date. Some Components who do not know if an exception is needed are waiting to see if electronic recordkeeping processes are fully adopted or if the disposal of paper records after digitization is authorized before knowing if an exception will be needed.

Funding and manning constraints in combination with the COVID-19 pandemic are additional reasons identified for an exception. For example, DCMA also noted that manning constraints may lead them to request an exception. In addition to the DoD Components' funding and manning constraints, FRCs' closures due to the pandemic may require Components to submit an exception. For example, the closures have reduced DON's ability to retrieve records for digitization.

Many DoD Components who do not know if they will need an exception are dependent on circumstances outside of their control. For example, USINDOPACOM will submit an exception if the AvePoint system cannot be deployed as planned. These DoD Components will submit an exception if there are any roadblocks to achieving the M-19-21 goals by the deadline.

## 7. Utilization of GSA Special Item Number to Procure Electronic Records Management Solutions

Is your agency utilizing the General Services Administration's Special Item Number for Electronic Records Management ([518210 ERM](#)) 6 to procure solutions to assist in transitioning to an Electronic Environment?

- Yes
- No
- Do not know

DoD Components that are utilizing the General Services Administration (GSA)'s Special Item for Electronic Records Management (518219 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment are as follows:

- The Army is reviewing and utilizing the ERM initiative to procure solutions and will implement ERM as an integral part of the procurement process.
- The DAF Records Office has informed the field of the GSA site for digitization support products as well as posting the link to its DAF Records Management SharePoint site. DAF commanders have the discretion to allocate resources for local records management, including adopting a solution from GSA 518210 ERM.
- Joint Staff has used this special item to assess the viability of procurement of contract services.

## 8. Requirements to Store Temporary Records

Has your agency developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?

- Yes
- No
- Do not know

Many DoD components will meet M-19-21, 1.3 and will have no need for commercial storage facilities. Due to regulatory and statutory guidance for some DoD components operations, some documents must be maintained in paper format. The following DoD Components have plans to store temporary records in commercial storage facilities:

- Army guidance to Army commands mandated that all Army records holding areas be closed and records transfer requests be submitted to the FRCs using the Archives and Records Centers Information System.
- DON is currently working a contracting action for the use of a commercial storage facility that meets NARA records storage requirements and expects to have a contract in place during this fiscal year.
- The DAF Records Office has disseminated information regarding commercial record storage as an option for bases to meet the OMB Memorandum M-19-21 deadline.

- DLA plans to submit a recommendation to engage with a commercial storage facility due to long-term records that are maintained in paper to ensure access over the course of the records lifecycle.

## 9. Challenges in Meeting Goal of Full Electronic Recordkeeping

Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?

- Yes
- No
- Do not know

As in previous years, several challenges have been identified across the DoD when meeting the goal of fully electronic recordkeeping, such as adapting policies and procedures from established paper processes and expectations. As DoD Components transition from a paper-based culture, many legacy processes, such as declassification and auditing, do not yet have an electronic equivalent. DoD Components have also identified challenges with legacy business processes which require the creation of permanent paper records and preservation in their original form. These permanent records would require exceptions to remain in the original format.

The DoD continues to work through the challenges of reduced resources, minimal staffing, and decreased funding to properly execute records management programs and meet the goals of the OMB/NARA M-19-21. Notably, these obstacles hinder the digitization of hardcopy records and/or their transfer to temporary storage facilities such as FRCs. These challenges were identified prior to the pandemic but continue to persist.

## 10. Suggestions for NARA to Improve Engagement

NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?

- Yes
- No
- Do not know

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

### **Additional Guidance and Standards on Electronic Recordkeeping Implementation**

DoD Components would benefit with updated guidance and standards from NARA, to include clarification on various aspects of electronic recordkeeping implementation. Guidance on cloud environments, social media records, digital signatures, records ownership designations, permanent email records, transfer of permanent electronic records, waivers, and implementation of commercial IT products such as Microsoft Office 365 would lend itself to a much-needed

streamlined process. Additionally, Components have expressed an interest in preserving senior leadership emails with the ability for high-level searches.

### **Expand Federal Collaboration**

When developing guidance, DoD recommends that Components with large scale programs be engaged to ensure funding, IT, and legal constraints are considered. The DoD would benefit from greater engagement and program advocacy from NARA. This includes the Chief Records Officer meeting with the DoD SAORM and the DoD Records Officer community to engage on DoD-specific issues and DoD enterprise solutions. This collaboration can be done by expanding the FRON to offer minimal, to-the-point meetings (with virtual and on-site options) and opportunities for peer engagement.

# APPENDIX A

DEPARTMENT OF THE ARMY  
COMPONENT SAORM REPORT

**Senior Agency Official for Records Management**  
**2021 Annual Report**  
**DoD Component Input from *Department of Army***

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

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

#### Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #3, #4, #5, #6, #7, #8, and #10 require all DoD Components to provide a response.
- For Question #2 and #9, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- Name of SAORM: Mark F. Averill
- Position title: Administrative Assistant to the Secretary of the Army
- Address: 101 Army Pentagon, Washington DC, 20310-0101

Enclosure

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable.*

- Yes
- No
- Do not know

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

The pandemic's evolving trajectory continues to severely degrade the ability of Army commands to conduct on-site inventories and to scan or ship records. Furthermore, most Federal records centers/commercial records centers are closed and/or operating at a diminished capacity, preventing record transfers and approvals.

The Army has additional work to validate inventories of records, check records holding areas for closure, review command records transition plans, and ensure records management compliance in electronic information systems. Army will continue to monitor progress as we transition to total electronic recordkeeping.

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.*

Records management requirements are integrated into the Army's information technology (IT) governance processes for portfolio management, risk management, capital planning, enterprise architecture, business process design, and system development. Acquisition, development, and enhancement of electronic information systems (EIS) and IT services incorporates records management and preservation considerations, and any

records contained in the systems or IT services are managed in accordance with NARA-approved records disposition schedules.

**4. Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

The Army will not meet the goal of managing and preserving all hard-copy records in an electronic format due to the effects of the COVID-19 pandemic, budgetary and manpower shortages, and the lack of trained record officials. Army established guidance to address this task via Secretary of the Army (SECARMY) memorandum (Transition to Electronic Records Management), dated 30 November 2020, and Administrative Assistant to the Secretary of the Army (AASA) memorandum (Transition to Electronic Records Management), dated 4 December 2020. Some commands (National Guard and Reserve) with capabilities will continue to digitize permanent paper records and request approval for destruction of hard-copy records.

Army requested an extension from NARA for 7 years relief from the M-19-21 deadline.

**5. Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

The Army will not meet the goal of managing and preserving all hard-copy records in an electronic format due to the effects of the COVID-19 pandemic, budgetary and manpower shortages, and the lack of trained record officials. Army requested an extension from NARA for 7 years relief from the M-19-21 deadline. However, established Army guidance permits commands to manage and preserve their paper records on site and to destroy them when the records reach their disposition. Some temporary records are managed in electronic format using approved electronic systems, such as shared drives or the Army Records Information Management System (ARIMS), and others remain in hard copy.

The Army has additional work to do. Additional guidance is forthcoming.

**6. Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes  
 No  
 Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

On 14 September 2021, Army submitted a request to NARA for a seven-year extension to the M-19-21 requirement. NARA is working on an exception request to the Office of Management and Budget. Currently, there is no change to the overall government-wide mandate.

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management ([518210 ERM](#)) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes  
 No  
 Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

The Army is reviewing and utilizing the ERM initiative to procure solutions and will implement ERM as an integral part of the procurement process. In addition, DoD is working toward an overall electronic records management solution for all components.

**8. Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

- Yes  
 No  
 Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

Yes, Army guidance to Army commands mandated that all Army records holding areas be closed and records transfer requests be submitted to the Federal Records Centers (FRCs) using the Archives and Records Centers Information System (ARCIS). The FRCs are currently operating at only 25% capacity rate and are unable to guarantee acceptance by 31 December 2022.

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

- Yes
- No
- Do not know

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

The Army does not see challenges, but additional guidance is forthcoming to reinforce standards and procedures. Army commands have large volumes of records encompassing all types of media, including paper records for military police operations, safety/accident incident records, testing materials, real property master planning documents for Army installations, and maps. In addition, due to regulatory and statutory guidance, some documents must be maintained in paper format.

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

- Yes
- No
- Do not know

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

Army suggests (1) requesting a blanket exception to policy to extend the M-19-21 deadline on behalf of all components due to the pandemic and (2) clarifying NARA guidance on the destruction of permanent records and requirements to consider record transfers submitted in ARCIS before 31 December 2022 as meeting the mandate. Additional NARA assistance and training on rejected records would ensure costs are minimized.

Based on the two-years COVID-19 posture, we've requested a seven-years extension. The Army would appreciate OSD's support with NARA and OMB on this extension.

# APPENDIX B

DEPARTMENT OF THE NAVY  
COMPONENT SAORM REPORT

**Senior Agency Official for Records Management  
2021 Annual Report  
DoD Component Input from *Department of the Navy***

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- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Ms. Gaye Evans
- Position title: DON/Assistant for Administration
- Address: 1000 Navy Pentagon Washington DC  
20350-1000

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable.*

- Yes
- No
- Do not know

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

The closures and or reduced operating hours of the Federal Records Centers (FRCs) due to the pandemic have impacted the normal business operations of the DON. This has caused delays in the DON's records management programs (i.e. Mandatory Declassification, Automatic Declassification, Freedom of Information Act) and normal transfer of records for storage and or retrieval.

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.*

The answer is yes with a caveat.

The Navy operates a DOD-STD-5015.02-compliant Records Management tool that contains a structured file plan with approved retention schedules. Navy taskers are also executed within the tool and automatically captured as records upon completion. The system also permits authorized users to conduct FOIA searches directly without need of coordinating between multiple Commands.

The tool does not integrate all data or other lines of business but there are systems that capture these other types of information.

The USMC is not using the Navy records management tool but is instead pursuing a proof of concept on another RM solution.

**4. Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

The Department of the Navy has 2 services and a Secretariat. The Navy/Secretariat (hereafter referred to as Navy) has completed training on the Department of the Navy's Electronic Records Management System (ERMS), DON TRACKER, in January 2022. The system is fully deployed. Additionally, the migration of all data from the Navy's previous ERM is in process and should be completed by the spring of 2022. If this tool was to continue to be used, the December 2022 date would easily be met. Because the DON is transitioning to a new task management tool (TMT), this will break the DON TRACKER TM/RM linkage currently in existence. Therefore, the DON is pursuing alternatives for a new RM tool. The Navy/Secretariat is evaluating a COTS tool while the USMC evaluates O365. A decision on which tool to use going forward is planned for early May 2022 which should provide sufficient time to still meet the December 31, 2022 goal.

**5. Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

See response to question 4 above.

**6. Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

The DON has been awaiting NARA's updated regulations and clear policies that permit agencies to digitize records created in analog formats and, where appropriate dispose of analog originals. Without the issuance of these regulations some efforts are underway toward the digitization of its permanent records. In addition as indicated in the response to question 2, the closure of the records centers due to the pandemic has significantly reduced the DON's ability to retrieve those records that could be digitized for future transfer to NARA in an electronic format. There had been some indication from NARA in Federal Record Counsel Meetings and meetings between the Navy and NARA that NARA may seek an extension of the deadlines under M19-21 due to the closures of the records centers. Therefore, if an extension of the dates were issued then the DON would not require an exception to the policy.

The DON does not operate its own records storage facilities and will not require an exception in regards to closing agency-operated records storage facilities and transfer of records to commercial storage facilities

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management ([518210 ERM](#)) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

The DON is not using the GSA catalog. The current Navy solution (DON TRACKER) is a follow-on to a Small Business innovative Research (SBIR) program. (Navy SBIR Topic Number: N121-103). For the RM replacement needs since DON TRACKER will be sunset, the Navy is evaluating a COTS solution competitively selected and the USMC is evaluating the use of O365. In early May 2022 a decision on a solution will occur but will also not use the GSA catalog.

**8. Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

- Yes
- No
- Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

The Navy is currently working a contracting action for the use of a commercial storage facility that meets NARA records storage requirements and expects to have a contract in place during this fiscal year. The USMC does not currently have a plan.

## **9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

- Yes
- No
- Do not know

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

An area of concern is that by nature of DoD business there will inevitably be a need for some permanent records to remain in their original form. It is recommended that the DoD Senior Agency Officer for Records Management request that NARA work with DoD components to identify permanent records that require preservation in their original form and provide exceptions for those records.

Section 1.2 requires that by 2022, all Federal Agencies will manage all permanent records in electronic format with appropriate metadata, for eventual transfer and accessioning by NARA. However, it provides an exception for records that are accessioned into NARA or transferred for storage into Federal Records Centers (FRCs) before December 31, 2022 or if some exception has been granted by NARA. Transferring records for temporary storage into a FRC ahead of their regular disposition schedule would require additional funding. Since this requirement was not known during development of the Budget, the DON has not budgeted for the money and cannot transfer records early to meet the above exception. This will require that the DON would have to convert all analog records before transferring them to NARA after December 31, 2022. In addition to developing exception criteria, NARA must provide exceptions for records that are produced in austere environments; (e.g., Navy ships, forward deployed units, units in combat zones, etc.). Another area that will require an exception is classified records that require a declassification review prior to transfer to NARA. All Federal Agencies, including the DON are struggling with finding the tools to perform the declassification reviews electronically. Today, records that are in an electronic format that require declassification are printed, reviewed, and tabbed using paper. The

DON has piloted an electronic declassification solution but requires access to the records in order to digitize them. Access to the records since the beginning of the pandemic has been minimal. Additionally, not all other agencies with equities have the capability to conduct the declassification review electronically.

Section 2.1 of OMB 19-21 states that by September 2020, NARA will revise its' records management regulations and guidance to support Federal Agencies' transition to fully electronic recordkeeping. The DON continues to digitize records created in analog formats, however, NARA has not yet given authorization to dispose of the analog originals. We are aware NARA will be publishing for agency comment soon based on its returned feedback from the public.

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

- Yes
- No
- Do not know

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

# APPENDIX C

DEPARTMENT OF THE AIR FORCE  
COMPONENT SAORM REPORT

**Senior Agency Official for Records Management  
2021 Annual Report  
DoD Component Input from *the Department of the Air Force***

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

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

#### Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
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- For Question #2 and #9, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Mr. Tommy W. Lee
- Position title: Department of the Air Force Records Officer
- Address: SAF/CNZA, 1800 Air Force Pentagon, Washington DC 20330-1800

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable.*

- Yes
- No
- Do not know

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

Department of the Air Force (DAF) records management policies have not changed. However, the COVID-19 pandemic has adversely impacted adherence to certain aspects related to the mandate of Office of Management and Budget (OMB) M-19-21 (goal 1.2), Transition to Electronic Records.

COVID-19 and its variants have impacted DAF operational practices. Air and Space Force Bases and the National Archives and Records Administration Federal Records Centers being closed or minimally manned for normal business operations have impacted base assessments, transfers, and shipment of analog records, especially FRCs not accepting new, regular transfers of hardcopy records. While the DAF understands the need for COVID-19 mitigation, FRCs currently accepting 1 to 5 boxes per shipment is neither economical nor efficient.

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.*

Air Force Instruction (AFI) 33-322, Records Management and Information Governance Program, outlines the framework to support and integrate records, information, and data management across the DAF enterprise. AFI 33-322 discusses DAF records management as a subset of information governance, the policy-based control of information to meet all legal, regulatory, risk, and business demands. AFI 33-322 also discusses records management as a part of the information access programs, which involve the collection, use, search, protection, accessibility, and disposal of information. In the DAF, information access programs include the Freedom of Information Act (FOIA), Privacy Act, Information

Collection, and Section 508 and acknowledge the interdependencies and touchpoints among these programs.

As outlined in Records Management Responsibilities, Chapter 3 of AFI 33-322, all DAF members must effectively manage and protect records, information, and data. Drawing upon practices from cybersecurity and information security, recorded information shall remain protected while at rest, in use, and in leaving the endpoints, applications, infrastructure, and networks within the control of the organization. To ensure protection and to restrict access to authorized users, recorded information shall be inventoried, classified, labeled (including those that are Controlled Unclassified Information), and encrypted where appropriate.

Under section 2.2.3 of AFI 33-322, commanders and civilian directors at all levels are required to manage and implement the records management program for their organizations. They are responsible for the physical and legal custody of all records within their organization to include monitoring compliance of legal and regulatory requirements. Section 2.2 in AFI 33-322 also describes the formal roles and responsibilities of the DAF Chief Information Officer, SAORM, records officer, command records managers, base records managers, portfolio and program managers of information technology investments, and publication and form Offices of Primary Responsibility.

Ensuring a sound governance strategy is paramount, which includes accessing, managing, retaining, storing, archiving, and disposing data effectively to enable DAF data being visible, accessible, understandable, linked, trustworthy, interoperable, and secure (VAULTIS). In Section 1.2 of DAFI 90-7001, Enterprise Data Sharing & Data Stewardship, the DAF CDO incorporates DAF records management in DAF Enterprise Data Management (EDM).

References:

AFI 33-332 - [https://static.e-publishing.af.mil/production/1/saf\\_cn/publication/afi33-322/afi33-322.pdf](https://static.e-publishing.af.mil/production/1/saf_cn/publication/afi33-322/afi33-322.pdf)

DAFI 90-7001 - [https://static.e-publishing.af.mil/production/1/saf\\_co/publication/dafi90-7001/dafi90-7001.pdf](https://static.e-publishing.af.mil/production/1/saf_co/publication/dafi90-7001/dafi90-7001.pdf)

**4. Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

The Department of the Air Force (DAF) has a pilot program to test Microsoft Office 365 (M365) and SharePoint Online capabilities for electronic records management, including records with a permanent retention. The present goal is to complete the pilot by the fourth quarter of fiscal year 2022. The DAF Chief Information Officer

collaborates with other organizations to develop the records management and privacy framework for business processes in M365.

In parallel, the DAF is working towards implementing an automated solution via the Defense Enterprise Office Solution (DEOS) initiative with its involvement in the Department of Defense DEOS Records Management Tiger Team 2.0.

**5. Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

Unless mandated by law, statute, or regulation, the majority of DAF records are generated and maintained in electronic form. The DAF has initiated a test pilot program based on M365 (with limited capabilities) to identify and establish appropriate records management business rules and framework in preparation for implementation across the DAF enterprise. This ongoing and complex initiative will improve upon the existing use of dedicated shared network drives for ERM.

**6. Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

Assuming no changes to the current OMB Memorandum M-19-21, the DAF plans to submit an exception request before FY22Q4, based on funding, manpower, and pandemic impact on operations as well as legal, regulatory, and other constraints on cessation of select analog records creation and maintenance - ideally with a Plan of Action and Milestones (POA&M) on when such records can "go digital" in keeping with the intent of OMB Memorandum M-19-21.

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

The DAF Records Office has informed the field of the GSA site for digitization support products as well as posting the link to its DAF Records Management SharePoint site. DAF commanders have the discretion to allocate resources for local records management, including adopting a solution from GSA 518210 ERM. Understandably, DAF commanders want to align with the DAF enterprise ERM solution in M365 with the ongoing ERM pilot.

**8. Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

- Yes
- No
- Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

The DAF Records Office has disseminated information regarding commercial record storage as an option for bases to meet the OMB Memorandum M-19-21 deadline. Mindful that migrating from NARA FRCs to commercial storage can incentivize the continual creation and receipt of analog records, the DAF does not maintain a centralized enterprise funding line for base records storage closure; hence, it is incumbent upon each DAF Major Command and Field Command, Air and Space Force base, Field Operating Agency (FOA), and Direct Reporting Unit (DRU) to allocate funding and resources for commercial storage of analog records. The respective Commanders/Directors need to prioritize adequate funding and manning resources to adhere to the OMB M-19-21 mandate. The DAF Records Office vigorously encourages bases to inventory non-electronic record holdings, propose transfer requests, and when pandemic conditions allow, deliver analog records to their respective FRCs prior to OMB's deadline.

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

- Yes
- No
- Do not know

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

The DAF is still identifying legacy business processes which require the creation of paper records, including laws, statutes, and regulations stipulating analog record creation, receipt, and maintenance. The DAF continues to face challenges with funding and manning.

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

- Yes
- No
- Do not know

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

Given DAF funding and manning, the DAF recommends NARA help the Department of the Air Force reduce the costs incurred from the Federal Records Centers Program and streamline the time-consuming approval process for proposed records disposition schedules. Since SAORMs at Federal Agencies have little time and multiple responsibilities, the DAF recommends NARA offer minimal, to-the-point meetings (with virtual and on-site options) but having opportunities for peer engagement, which can be tapping existing forums such as the Federal CIO Council. A NARA “one-stop” SAORM webpage for new SAORMs can be helpful with use cases and examples of effective SAORM advocacy.

# APPENDIX D

CHAIRMAN OF THE JOINT CHIEFS OF STAFF  
COMPONENT SAORM REPORT

# APPENDIX D-1

CHAIRMAN OF THE JOINT CHIEFS OF STAFF

**Senior Agency Official for Records Management  
2021 Annual Report  
DoD Component Input from *Joint Staff***

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

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

#### Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
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- For Question #2 and #9, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Patricia Capers
- Position title: Chief Records Officer, Joint Staff
- Address: 0400 Joint Staff Blvd., Pentagon Washington DC, 20318

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable.*

- Yes
- No
- Do not know

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

The difficulty in physical transfers to the WNRC (partial closure) and Archives II (full closure) facilities has significantly delayed the Joint Staff's ability to accession permanent records to NARA, and has delayed internal Joint Staff projects to move records collections off site.

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.*

Joint Staff maintains relationships with many stakeholders like Security and Privacy officers, FOIA leads, IT personnel, and we have very good support from our SAORM. New relationships with the DoD/CDO office and Knowledge Management personnel continue to develop.

**4. Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

The majority of Joint Staff Top 4 permanent records are managed in an electronic format and in electronic systems. Joint Staff is working on the management of its electronic information systems as well. Hardcopy permanent Joint Staff records will be transferred either to the WNRC or as an accession to the Archives II facility prior to the 31 December 2022 deadline.

**5. Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

Joint Staff plans to deploy a new version of its Alfresco Records application in 2022. This will allow the JS to manage temporary records electronically as well as transfer records located in other repositories, like SharePoint or in shared drives to our main repository for disposition. Joint Staff also plans to conduct an agency-wide records inventory in 2022 to identify locations of all temporary records.

**6. Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

It is the goal of the Joint Staff to meet the December 31st, 2022 deadline, however, under current COVID constraints at the WNRC and Archives II, to include Joint Staff manning restrictions, we are poised to submit an exception to NARA if warranted.

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

Joint Staff has used this special item to assess the viability of procurement of contract services.

**8. Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

- Yes
- No
- Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

Joint Staff intends to transfer all hardcopy paper records to the WNRC prior to the 31 December 2022 deadline.

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

- Yes
- No
- Do not know

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

As the Joint Staff manages electronic records across three security domains (unclassified, secret, and top secret), we must manage electronic records in three places. One of the domains is provided by another DOD agency and we are tenants. This complexity, balanced with our RM oversight requirements of 11 separate organizations (also using multiple domains), strains time and personnel resources. Fiscal constraints limit the ability to augment with contract support.

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

- Yes
- No
- Do not know

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

To drive resourcing, recommend NARA facilitate SAORM interaction among government agencies (community) focused on surfacing best-practices, especially those connecting records management to business/mission value. Intelligent information management contributes to time/money savings, better decision making, more effective outcomes, better constituent services, increased accountability, higher productivity, and better quality of life. This story is often lost in the focus on compliance activities alone which tends to be disconnected from mission, and “resource optimized.”

# APPENDIX D-2

NATIONAL DEFENSE UNIVERSITY

**Senior Agency Official for Records Management  
2021 Annual Report  
DoD Component Input from *National Defense University***

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

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

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- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Tonya Barbee
- Position title: Agency Records Officer/RMIC Project Manager
- Address: National Defense University 300 5<sup>th</sup> Ave Wash DC 20319

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable.*

- Yes
- No
- Do not know

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

COVID did not impact policies or practices related to RM. Per DoD Directive to leverage Cloud services, NDU's migrated its records to the cloud in March 2020. During the transition the NDU records management portal housing organizational file plans, inventories and instructions have been migrated to the new environment. NDU's Records Manager is working with the components record custodians to validate migration success.

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.*

NDU has an Information Architecture describing many of its academic and some business function. The university is in the process of deploying an Enterprise Data Management Platform (EDMP) to centralize and automate its data governance capabilities. As this application is being fielded per NDU 5100, NDU is utilizing existing governance processes e.g., University Resource Council (URC), Information Technology Strategy Council (ITSC); and a series of other boards consisting of leadership representatives from across the university to ensure that there is appropriate coordination and communication amongst components and colleges to ensure effective operations

**4. Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes

- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

NDU plans to meet the goal by utilizing capabilities inherent to SharePoint M365 Records Center to ensure that data is centralized across multiple platforms to include Salesforce platforms are appropriately managed and preserved according to NARA Records Management standards.

**5. Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

NDU plans to meet the goal to manage and preserve temporary records by configuring and utilizing capabilities of Records Center that are a part of the SharePoint 365 offering. This configuration will be used to manage data that will exist within the EDMP along with other disparate data sources.

**6. Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

We will only request an exception to the M-19-21 requirements if we have technical challenges or lack of personnel availability to manage this undertaking.

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

NDU intends to utilize SharePoint 365 Records Center to manage Electronic Records. NDU will utilize SharePoint and the Salesforces platform as its main data repositories. If additional capabilities are required, NDU will utilize GSA 518210 ERM to research and acquire additional solutions to meet the NARA requirements to deploy an automated Records Management System

**8. Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

- Yes
- No
- Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

For now, working with the Records Custodians to determine what paper records we have. Being that we have new Records Custodians, we're off-site, this section may have to be postponed for a later time until we are back in the building. We digitized approximately 25% in year 2019.

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

- Yes
- No
- Do not know

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

Technically, NDU-ITD is currently in the process of modernizing its infrastructure based on funding that was identified in a 2019 issue paper and submitted to OSD. Current challenges include the Continuing Resolution (CR), and logistic challenges caused by COVID19. Based on the IT strategic plan, our intent was to utilize funding resources received in FY22 to field the RMS. However, because of the ongoing Continuing Resolution (CR), delays in the distribution of the funds may cause a negative effect on the implementation of the planned capabilities. In addition, staffing shortages, COVID19 and other negative impacts may have a detrimental effect on the velocity and/or ability to meet the desired goal.

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

- Yes
- No
- Do not know

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

Suggest having a few virtual workshops throughout the year on RM topics for the Agency Records Officer – “How to Keep RC’s Engaged,” Records Custodian training to keep them interested, show growth potential for motivation, leadership briefings that we can tailor for our leadership, updates on basic/general briefing templates and more You Tube videos.

# APPENDIX D-3

UNITED STATES AFRICA COMMAND

**Senior Agency Official for Records Management  
2021 Annual Report  
DoD Component Input from *United States Africa Command***

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

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

#### Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #3, #4, #5, #6, #7, #8, and #10 require all DoD Components to provide a response.
- For Question #2 and #9, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Daniel E. Sewell
- Position title: Command Records Manager
- Address: USAFRICOM, Stuttgart, GE

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable.*

- Yes
- No
- Do not know

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

The COVID-19 pandemic has impacted how I interact with individuals. In the past year, I had less interaction with individuals and more via email and teams. With social-distancing in place, I have not been able to visit offices as needed to conduct proper Records Management inspections.

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.*

Since Information is received through a multitude of external agencies. This requires a number of methods to ensure information is properly captured, archived and removed. This includes the use of other disciplines such as Knowledge Management and Content Management when considering information flow and more importantly information security.

**4. Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes

- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

USAFRICOM will have a viable electronic management system in place that will format and implement all metadata elements as mandated by NARA.

RM goals for for FY 2021 include:

- Annual Staff RM Training
- Training of Incoming personnel identified as RO's and FCs.
- Continue to proceed to full electronic records
- Perform annual review and update of RM Policy

**5. Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

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

**6. Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

Currently, USAFRICOM is on track to meet this goal however, should a roadblock present itself and unable to meet this date, a request may need to be submitted.

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

USFRICOM will be looking at this as possible RM option.

**8. Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

- Yes
- No
- Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

At this time, USAFRICOM does not require a commercial storage facility to store records since they are already in an electronic medium.

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

- Yes
- No
- Do not know

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

As with all changes, there are challenges when bringing stakeholders onboard. USAFRICOM is striving to minimize this by training personnel and promoting the need to convert to a fully-electronic recordkeeping medium. Furthermore, with USAFRICOM being a young command, meeting this is goal is obtainable.

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

- Yes
- No
- Do not know

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

The NARA website provides a great deal of information that can be easily viewed and if so needed, downloaded and made available to other personnel.

# APPENDIX D-4

UNITED STATES CENTRAL COMMAND

**Senior Agency Official for Records Management  
2021 Annual Report  
DoD Component Input from *United States Central Command***

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

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

#### Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
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- Questions #3, #4, #5, #6, #7, #8, and #10 require all DoD Components to provide a response.
- For Question #2 and #9, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Mr. Edgardo M. Guzman
- Position title: Command Records Manager
- Address: 7115 South Boundary Blvd, MacDill AFB, FL 33621

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable.*

- Yes
- No
- Do not know

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

COVID-19 pandemic has impacted the Records Management (RM) team's ability to conduct on-site RM support, Staff Assistance Visits (SAVs) to many of our HQ Directorates and Special Staff offices, Service Component Commands, Joint Task Forces, and subordinate Commands.

Additionally, the pandemic has impacted the Joint Task Forces, and subordinate Commands ability to provide organized quarterly collections back to HQ USCENTCOM.  
JTF

The RM team has adopted and utilized virtual training, support and assistance to ensure compliance. But without being physically on-site to assess/audit each program, the quality and quantity of the records collected has been significantly impacted. In some cases, the Command had not received a collection in over a year.

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.*

The USCENTCOM Records Management (RM) team is uniquely positioned within the Command under the Command and Control, Communications, and Computers Systems Directorate (CCJ6), which affords the RM team the ability to support every office of record with the management of electronic records. This position ensures the RM team has the visibility and capability to implement electronic RM requirements into any new system and processes across the Headquarters (HQ) and the Area of Responsibility (AOR).

Additionally, the RM team works closely with the Data Management, Knowledge Management, Security, Privacy, and Freedom of Information Act (FOIA) offices to establish governance for the management of data and records throughout the Command.

**4. Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

The USCENTCOM RM team has implemented several plans to ensure all permanent electronic records are being managed electronically and with the appropriate metadata NLT 31 December 2022. This includes but is not limited to publishing a list of records types assessed to have permanent historical value.

CCR 25-50 directs electronic records whose disposition is ten (10) years or longer, and have not been accessed for more than two (2) years, shall be transferred/archived into the Command's ERMA during the end of cycle actions. All long-term and permanent records should be moved into the Command's ERMA as soon as the business process allows.

Additionally, CCR 25-50 directs when exporting records for transfer to HQ USCENTCOM, the following metadata is required by USCENTCOM. This maintains provenance and/or incorporates a location's taxonomy when exporting records:

- (1) Office symbol (owner of the record).
- (2) Creator (office that owns the information).
- (3) Date created (Windows metadata is acceptable).
- (4) Date modified (Windows metadata is acceptable).
- (5) Classification and caveats (make every effort to ensure records are classified properly).
- (6) Retention schedule (e.g., 0500-05, 0200-03) in accordance with CJCSM 5760.01A, *Joint Staff and Combatant Command Records Management Manual: Volume II, Disposition Schedule*, 13 July 2012, Directive Current as of 15 September 2014.

Permanent paper records at HQ USCENTCOM have been digitized and processed into the Command's ERMA. Furthermore, local Staff Assistance Visits (SAVs) are performed in order to identify, categorize, and digitize physical records found which are then cataloged into the Command's ERMA. Likewise, SAVs conducted in the AOR undergo a similar

process, however the records captured there are retrograded back to HQ USCENTCOM on a quarterly basis and then cataloged into the Command's ERMA.

**5. Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

The USCENTCOM RM team has implemented several plans to ensure all temporary records are being managed electronically and with the appropriate metadata NLT 31 December 2022. This includes but is not limited to the annual USCENTCOM ALL (HQ and all subordinate units) Physical Records Call. During this records call, any office that created any physical records were afforded the opportunity to digitize their physical records. The USCENTCOM RM team set aside dedicated scanners in the CENTCOM Records Interim Storage Facility (CRISF), which are available for HQ staff use.

Furthermore, local SAVs are performed in order to identify, categorize, and digitize physical records found, which are then cataloged into the Command's ERMA. Likewise, when SAVs are conducted in the AOR, they undergo a similar process, however the records captured there are retrograded back to HQ USCENTCOM on a reoccurring basis and then cataloged into the Command's ERMA.

The RM team has identified some official records that must be maintained in physical format (0200-02.M – Supervisor Employee Records, disposition of 3 years; 0300-06.A – Non-disclosure agreements, disposition of 70 years, to name a few). Some of these records will be stored in the Command's CRISF.

**6. Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

During the Calendar Year 22 HQ SAVs, the Senior Records Analyst will work with the Records Officer and Files Custodians to identify any official records that must be maintained in paper/physical format (0200-02.M – Supervisor Employee Records, disposition of 3 years; 0300-06.A – Non-disclosure agreements, disposition of 70 years, to name a few) due to DoD, Service specific guidance. The RM team will provide guidance at the Quarterly

Directorate Records Officer training (Feb/Mar 22) to ensure that each Records Officer/Files Custodian understands the mandate. Last, the RM team is drafting a Command wide tasker (HQ, SCC, JTF, and subordinate commands) directing that each office identifies any official records that must be maintained in paper/physical format. Once the responses are consolidated, the Command will submit for an exception to the M-19-21 requirements. Estimated submission will be June/July 2022.

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

USCENTCOMs approved Electronic Records Management Application (ERMA) is Micro Focus Content Manager (CM). CENTCOM Regulation 25-50, Records Management Program, directs that all Directorate and Special Staff offices will archive electronic records within the HQ USCENTCOM-approved ERMA. This system provides the capability of integrating ERM with existing information systems, and establishes a records and document management capability for HQ USCENTCOM (e.g., cradle to grave lifecycle of a document/record). Additionally, all Joint Task Force, subordinate commands, and Security Cooperation Officer/Offices of Military Cooperation electronic records are placed in the ERMA quarterly; thereby alleviating the need for a local instantiation of the USCENTCOM ERMA.

CCJ6-RDR also provides ERMA training monthly, upon request, and during SAVs to ensure each employee knows how to utilize CM.

**8. Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

- Yes
- No
- Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

The RM team manages and maintains the USCENTCOM Records Interim Storage Facility (CRISF). This facility includes USCENTCOM physical records awaiting final disposition (e.g., destruction and/or transfer to NARA). The facility also serves as the Command's paper records digitization processing location, when required.

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

- Yes
- No
- Do not know

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

Establishing a more efficient means to transfer "War Records" from the USCENTCOM AOR to HQ USCENTCOM on a quarterly or reoccurring base. A solution is needed to allow "War Records" from the AOR to be collected in a central AOR data location and then replicated to a data storage location at USCENTCOM facilitating the ingestion into the Command's ERMA.

The RM Team will identify any records that must be maintained in paper/physical format June 2022 and if applicable submit for an exception to M-19-21. The Command expects that any records identified that are required to be maintained in paper/physical format will be short to long-term temporary (6 months – 70 years).

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

- Yes
- No
- Do not know

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

Enforcement of RM policies and procedures is the largest problem within all agencies. Additionally, NARA should lead an all-federal agency-wide effort to establish a more efficient and collaborative way to manage and preserve Senior Leader e-mails. The current process with DISA does not allow USCENTCOM to immediately capture and preserve these e-mails into the Command's ERMA, nor will it allow the Command to conduct searches for official requests (e.g., FOIA, litigations, etc.).

USCENTCOM also requests clearer guidance and direction on how to capture and preserve social media records.

# APPENDIX D-5

UNITED STATES CYBER COMMAND

**Senior Agency Official for Records Management  
2021 Annual Report  
DoD Component Input from *United States Cyber Command*  
(USCYBERCOM)**

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

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

#### Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
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- For Question #2 and #9, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Shannon Hueber
- Position title: Combatant Command Records Officer / Publications and Forms Manager / Essential Records Officer
- Address:

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable.*

- Yes
- No
- Do not know

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

Records management procedures and practices remained the same.

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.*

USCYBERCOM is currently developing a framework with the CDO and CIO. All other relationships have been established.

**4. Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

USCYBERCOM has all electronic records, excluding essential records. We keep both a hard and soft copy of those. We also have a records application that actively journals our emails on SIPR and soon TS.

**5. Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

USCYBERCOM records are all electronic. We need to focus on data management to clean up what we currently have.

**6. Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

We do not have a lot of hard copy documents. 80% of the documents that are created hard copy are already digitized and filed.

**8. Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

- Yes
- No
- Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

We do not need temporary storage facilities.

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

- Yes
- No
- Do not know

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

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

- Yes
- No
- Do not know

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

# APPENDIX D-6

UNITED STATES EUROPEAN COMMAND

**Senior Agency Official for Records Management  
2021 Annual Report  
DoD Component Input from *US European Command***

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

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

#### Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
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- For Question #2 and #9, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Ms. Alicia Singerman
- Position title: EUCOM, Command Records Manager
- Address: Patch Barracks, Stuttgart-Vaihingen, Germany

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable.*

- Yes
- No
- Do not know

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

COVID-19 created an inability to travel to any of U. S. European Command's (USEUCOM) 39 Offices of Defense Cooperation in allied and partner nations for staff assist visits (SAVs). It also reduced opportunities for SAVs at USEUCOM directorates and in-person training.

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.*

USEUCOM does not have an information governance framework that integrates RM, data management, CIO, or knowledge management. Each function works in line towards completing the USEUCOM mission. There is no formal governance that mandates how work is completed.

**4. Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

From 2017 until 31 September 2021, the USEUCOM Records Management Office (RMO) had a contract with Gimmal to provide an electronic records repository. Although the repository worked well initially, with subsequent SharePoint upgrades it required a significant level of manual customizations and scripts to function. In 2021, USEUCOM decided not to renew the contract opting instead to develop in-house SharePoint records repositories on its NIPR and SIPR SharePoint sites. With limited IT resources and more urgent operational priorities, both sites are progressing but remain in development. RMO estimates they will be operational in the third quarter of FY22.

**5. Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

The Special Security Office (SSO), which is part of the Intelligence Directorate, is the only USEUCOM activity that maintains paper records. These are personnel records which new employees complete at orientation. The SSO digitizes the records and maintains the original paper records until two years after an employee departs at which point they are destroyed. The SSO is working with USEUCOM IT to fully digitize the process and do away with paper records.

**6. Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

Because of the temporary SSO records mentioned above, USEUCOM RMO will request an exception waiver to the M-19-21 requirement.

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

USEUCOM does not use General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 at this time but may use these solutions in the future as it continues its transition to an electronic RM environment.

**8. Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

- Yes
- No
- Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

With the exception of the SSO temporary records mentioned earlier, USEUCOM temporary records are electronic and maintained in file plans on the NIPR and SIPR share drives. There is no requirement for a commercial storage facility.

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

- Yes
- No
- Do not know

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

USEUCOM will meet the goal of fully electronic recordkeeping.

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

- Yes
- No
- Do not know

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

- The information NARA publishes is helpful and informative for developing and maintaining a successful RM program. It would be helpful for NARA to provide training through Webinars specific to the CRM
- Continue with initiatives like 518210 ERM 6 that make it easier for DoD activities to implement cost effective RM solutions that will reduce the manpower and time required to efficiently manage command records

# APPENDIX D-7

UNITED STATES INDO-PACIFIC COMMAND

**Senior Agency Official for Records Management  
2021 Annual Report  
DoD Component Input from *U.S INDO-PACIFIC COMMAND***

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

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

#### Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
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- For Question #2 and #9, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Rose Greco
- Position title: Command Records Manager
- Address: U.S. Indo-Pacific Command, 1 Elrod Road, Building 700, Room 109, Camp H.M. Smith, Hawaii 96861

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable.*

- Yes
- No
- Do not know

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

The COVID-19 pandemic has made it difficult and challenging to conduct records management training and inventory review of records for each directorate at HQ USINDOPACOM to meet the initiatives of M-19-21. Directorate personnel had to adjust work schedules frequently based on mission essential requirements while complying with State of Hawaii and DoD COVID-19 restrictions and requirements. These challenges have impacted access to and management of our records, and significantly delayed the implementation of an electronic records management system.

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.*

HQ USINDOPACOM has purchased AvePoint Records, Compliance Guardian and DocAve Core software and implementation services to implement electronic records management on the SIPRNET; we expect it to be implemented by the end of CY 2022.

The Command Records Manager (CRM) is coordinating with the Knowledge and Information Management (KIM) team and other IT service providers to identify and segregate records from non-records on the NIPRNET and SIPRNET. In addition, each directorate has appointed two Records Custodians (RC) to assist in managing their respective directorate records on the share drives and share points. USINDOPACOM expects to transition from share drives to share point online on the NIPRNET by the end CY 2022.

CRM is currently updating all records management related training and requirements, including new personnel training via monthly ISTOP, annual individual mandatory training on JKO, Records Custodian training, policy, and instruction in alignment to and compliance with M-19-21 initiatives.

**4. Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

Due to setbacks caused by the COVID-19 pandemic, including the vacancy of the CRM's position for most of CY 2021, HQ USINDOPACOM may not meet the goal of M-19-21, 1.2 and 1.3 by December 31, 2022.

In addition, the Navy is planning to transition from share drives to Share Point online on the NIPRNET by the end of CY 2022, which will impact records management on the NIPRNET. The CRM is investigating whether the Navy's solution will incorporate some type of records management.

We expect to implement AvePoint records management system on SIPRNET by the end of CY 2022 to manage our permanent and temporary records in an electronic format. The CRM is training the RCs and stakeholders on records management, as well as working with the KIM and IT team to identify records on NIPRNET and SIPRNET.

**5. Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

Due to setbacks caused by the COVID-19 pandemic, including the vacancy of the CRM's position for most of CY 2021, HQ USINDOPACOM may not meet the goal of M-19-21, 1.2 and 1.3 by December 31, 2022.

In addition, the Navy is planning to transition from share drives to Share Point online on the NIPRNET by the end of CY 2022, which will impact records management on the NIPRNET.

The CRM is investigating whether the Navy's solution will incorporate some type of records management.

We expect to implement AvePoint records management system on SIPRNET by the end of CY 2022 to manage our permanent and temporary records in an electronic format. The CRM is training the RCs and stakeholders on records management, as well as working with the KIM and IT team to identify records on NIPRNET and SIPRNET.

**6. Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

We will submit a request to NARA for an exception if implementation of the AvePoint system cannot be deployed as planned, or circumstances beyond our control prevents us from transitioning to an electronic environment to the fullest extent possible.

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management ([518210 ERM](#)) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

USINDOPACOM has purchased AvePoint Records, Compliance Guardian and DocAve Core software and implementation services to implement electronic records management on the SIPRNET; we expect it to be implemented by the end of CY 2022.

**8. Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

- Yes
- No
- Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

USINDOPACOM transferred permanent and temporary analog records to FRC - WNRC (Suitland).

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

- Yes
- No
- Do not know

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

HQ USINDOPACOM will continue to have operational and technical challenges in transitioning to a fully-electronic recordkeeping environment even if the COVID-19 pandemic were to end this year. First, HQ USINDOPACOM, the largest of the six combatant commands, has only one records manager with very limited resources to oversee the entire records management program in its area of responsibility. Second, implementing an electronic records management program on the unclassified system is practically impossible due to the fact that we are merely tenants of the Defense Information Services Agency (DISA). While DISA has an electronic records management services via Microsoft Office 365 slated, it does not have a time line when deployment will take place. Further, the Navy is deploying Flank Speed (enterprise solution for daily work, offering a secure environment for collaboration, cloud storage, and Microsoft Office 365 productivity tools), and again, it too does not have a time line when full deployment will take place. Currently, Flank Speed users are enabled at various phases.

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

- Yes
- No
- Do not know

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

# APPENDIX D-8

UNITED STATES NORTHERN COMMAND

**Senior Agency Official for Records Management  
2021 Annual Report  
DoD Component Input from *US Northern Command (USNORTHCOM)***

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

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

#### Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
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- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Sandra M. McAfee-Symons
- Position title: Command Records Manager
- Address: 250 Vandenberg Street, Suite B016, Peterson AFB, CO 80914

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable.*

- Yes
- No
- Do not know

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

No input

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.*

All agency reps coordinate for new technologies to ensure all relevant facets are addressed. Recurring meetings to ensure all equities are represented regarding information governance have been established.

**4. Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

All permanent records are managed with appropriate metadata. Current electronic formats meet NARA transfer guidance. Command will not have any records eligible for transfer to NARA until 2027. Periodic review of NARA format tables ensure format standards remain applicable.

**5. Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

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

Scanning temporary hard-copy records is encouraged but not required unless it is a functional/operational record (7-10 year) or falls under the "Exceptions" category. Electronic records are sent to the Records Repository (electronic record keeping application) for disposition management.

**6. Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

No waiver needed as electronic format requirement is being met.

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management ([518210 ERM](#)) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

Vendor support not required as record content is already in an electronic format.

**8. Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

- Yes

- No
- Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

Commercial storage not required

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

- Yes
- No
- Do not know

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

No input

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

- Yes
- No
- Do not know

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

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

# APPENDIX D-9

UNITED STATES SOUTHERN COMMAND

**Senior Agency Official for Records Management  
2021 Annual Report  
DoD Component Input from *United States Southern Command*  
(USSOUTHCOM)**

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

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

#### Instructions for Reporting

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- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Ms. Ayanna Cambridge-Brown
- Position title: Command Records & Information Management Officer
- Address: 2901 NW 33<sup>rd</sup> Street, Doral FL

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable.*

- Yes
- No
- Do not know

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

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.*

USSOUTHCOM is transitioning to the DISA tenant (DoD365-J) and therefore USSOUTHCOM will be able to use the Records Management capabilities once they become available on **DoD365-J**. DISA is working on a solution to ensure the Records Management requirements are captured and implemented within the tenant. As of right now their objective is to have the ability to manage records in compliance with RM policy. They have a draft implementation plan and way forward, but still need to do a lot of work to include testing and pilot groups. They have also not provided what additional licenses will be needed (if any). SOUTHCOM will be fully transitioned onto the DISA tenant before 31 MAR, DISA's RM solution will not be built out prior to that date.

Furthermore, manpower is another issue. The Command Records Officer is manned by one person who is also the FOIA and Privacy Officer. The SOARM and Chief Information Officer is at the DoD Level. USSOUTHCOM has no Disposition Review Officer. Information Security does collaborate with the Command Records & Information Officer on matters dealing with records.

**4. Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

USSOUTHCOM will not meet the goal to manage and preserve all permanent records in electronic format with the appropriate metadata by December 31, 2022. USSOUTHCOM is transitioning to the DISA tenant (DoD365-J) and therefore USSOUTHCOM will be able to use the Records Management capabilities once they become available on **DoD365-J**. DISA is working on a solution to ensure the Records Management requirements are captured and implemented within the tenant. As of February 1, 2022 their objective is to have the ability to manage records in compliance with RM policy. They have a draft implementation plan and a way forward, but still need to do considerable amount of work to include testing and pilot groups, prior to implementation. DISA also needs to provide the number of additional licenses needed (if any) and associated cost for full implementation.

**5. Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

DISA has not provided a RM solution to manage and preserve all temporary records in electronic format.

**6. Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

The USSOUTHCOM Command Records and Information Officer will submit a request to NARA for an exception to the M-19-21 NLT than May 2022.

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes

- No
- Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

USSOUTHCOM is transitioning to the DISA tenant (DoD365-J) and therefore USSOUTHCOM will be able to use the Records Management capabilities once they become available on **DoD365-J**

**8. Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

- Yes
- No
- Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

USSOUTHCOM does not have agency-operated storage facilities. However, USSOUTHCOM is in the process of shipping old records to the National Archive Agency.

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

- Yes
- No
- Do not know

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

DISA is working on a solution to ensure the Records Management requirements are captured and implemented within the tenant. As of February 1, 2022 their objective is to have the ability to manage records in compliance with RM policy. They have a draft implementation plan and a way forward, but still need to do considerable amount of work to include testing and pilot groups, prior to implementation. DISA also needs to provide the number of additional licenses needed (if any) and associated cost for full implementation.

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

- Yes
- No
- Do not know

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

# APPENDIX D-10

UNITED STATES SPACE COMMAND

**Senior Agency Official for Records Management  
2021 Annual Report  
DoD Component Input from *US Space Command (USSPACECOM)***

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

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

#### Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #3, #4, #5, #6, #7, #8, and #10 require all DoD Components to provide a response.
- For Question #2 and #9, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: TSgt Jasmine Harris
- Position title: Command Records Manager
- Address: 150 Vandenberg St., Suite 1105, Peterson SFB, CO 80914

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable.*

- Yes
- No
- Do not know

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

No input.

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.*

As the newest Combatant Command and not yet Full Operational Capability (FOC), not all agency information lines of business have been filled. However, agency reps attend meetings and request input from other agency lines of business. The command has stood up a Data Council ran by the CIO and CDO which includes the other staff agencies though is developing the lines of business. The command also has lines of business developed through ETMS2 to ensure all parties are represented accordingly in the Command regarding new technologies and information governance and will continue to refine towards FOC.

**4. Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

USSPACECOM permanent records are being managed in an electronic format. The Command is currently in the process of transitioning to the appropriate metadata to meet NARA transfer guidance. When applicable, the Command will not have any records that are eligible for transfer until around 2030.

**5. Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

USSPACECOM temporary operational and functional records are being managed in an electronic format. Temporary hard-copy records are required to be scanned unless it falls under the "Exceptions" rule and/or if governed by a HHQ instruction.

**6. Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

An exception to the M-19-21 is not required as USSPACECOM is meeting the electronic format requirement.

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

There is not a need for vendor support as USSPACECOM has an electronic environment established for record content.

**8. Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

- Yes
- No
- Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

USSPACECOM does not have a need to store temporary records. Therefore, commercial storage facilities are not required.

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

- Yes
- No
- Do not know

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

No input.

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

- Yes
- No
- Do not know

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

# APPENDIX D-11

UNITED STATES SPECIAL OPERATIONS  
COMMAND

**Senior Agency Official for Records Management  
2021 Annual Report  
DoD Component Input from *United States Special Operations Command***

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

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

#### Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #3, #4, #5, #6, #7, #8, and #10 require all DoD Components to provide a response.
- For Question #2 and #9, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Mr. Sturgis C. Griffin III
- Position title: Command Records Manager (CRM)
- Address: 7701 Tampa Point Blvd., MacDill Air Force Base, FL 33621

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable.*

- Yes
- No
- Do not know

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

COVID-19 mitigation protocols and manpower fluctuations impacted our ability to effectively manage records and provide records management (RM) oversight on all our networks. Our organizations have implemented a variety of measures to protect the workforce, to include but not limited to minimal manning, teleworking, and other COVID-19 protocols. These measures have directly impacted our RM program due to assigned/appointed files custodians are out of the office more frequently with no or limited access to our networks thus impacting their abilities to effectively manage their assigned programs and conducting their RM duties. Likewise, RM training for newly assigned personnel, newly appointed files custodians, and individual annual training has been impacted during this time.

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.*

USSOCOM Special Operations Command Support – Knowledge Management (SOCS-KM) SharePoint Online and OneDrive for business have established governance for these repositories, which include the following retention. USSOCOM has implemented a retention policy of seven years. All data stored in SharePoint Online will be retained for a period of no less than seven years. Additionally, the most current final version of documents or policy will be moved into the RM solution. This will enable USSOCOM to capture official records and apply additional disposition past the seven-year mark. USSOCOM manages all official completed actions utilizing MicroFocus Content Manager in accordance with CJCSM 5760, Vol II Joint Staff and Combatant Command RM Disposition Schedule and USSOCOM Directive 25-51, USSOCOM RM Program, dated 28 Feb 2021.

**4. Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

USSOCOM and its Service Components, the Joint Special Operations Command, Theater Special Operations Commands, and the Joint Special Operations University are working towards managing and preserving all permanent records in an electronic format with the appropriate metadata by 31 December 2022. All permanent records will be converted to an electronic format prior to submission to NARA.

**5. Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

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

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

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

- (1) Office symbol (owner of the record).

- (2) Creator (office that owns the information).
- (3) Date created (Windows metadata is acceptable).
- (4) Date modified (Windows metadata is acceptable).

**6. Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

USSOCOM does not plan to submit an exception to the M-19-21 requirement before 31 December 2022. All permanent records will be converted to an electronic format prior to submission to NARA.

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management ([518210 ERM](#)) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

Currently, USSOCOM has no requirements to purchase additional solutions. USSOCOM utilizes a MicroFocus Content Manager to manage all official completed actions in accordance with CJCSM5760, Vol II Joint Staff and Combatant Command Records Management Disposition Schedule and USSOCOM Directive 25-51, USSOCOM Records Management Program, dated 28 Feb 2021.

**8. Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

- Yes
- No
- Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

USSOCOM does not use commercial storage facilities to store our records. All permanent records will be transferred directly to NARA, and we will not utilize any Federal Record Center in the future. USSOCOM plans on being in compliance with M-19-21 to transfer records electronically to NARA vs paper records being submitted to the Federal Records Center.

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

- Yes
- No
- Do not know

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

USSOCOM, being geographically separated from its Service Components, the Joint Special Operations Command, and Theater Special Operations Commands, makes it extremely challenging during the ongoing pandemic to ensure that all organizations are compliant and managing their records in accordance with USSOCOM policies and procedures.

In addition, as we transfer more services into cloud-based solutions (M365), which does not include an integrated records management application it will become more difficult to manage information and records using a content-based records disposition schedule.

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

- Yes
- No
- Do not know

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

Enforcement of RM policies and procedures is the largest problem within all agencies. Additionally, NARA should lead an all-federal agency wide effort to establish a more efficient and collaborative way to manage and preserve Senior Leadership electronic mails (E-mails). Many of Combatant Commands are utilizing the Defense Information Systems Agency to manage their E-mails and that process does not allow those organizations to immediately capture and preserve these E-mails into their Command ERMA, nor allow for proper searches for Freedom of Information Act and/or litigation requests.

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

# APPENDIX D-12

UNITED STATES STRATEGIC COMMAND

**Senior Agency Official for Records Management  
2021 Annual Report  
DoD Component Input from *United States Strategic Command*  
(USSTRATCOM)**

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

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

#### Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
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- For Question #2 and #9, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Mr. Charles Yasik, GS-11, DAFC, MPA
- Position title: Command Records Manager (CRM)
- Address: USSTRATCOM/J010, 900 SAC Blvd., STE N3.101, Offutt AFB, NE 68113

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable.*

- Yes
- No
- Do not know

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

The simplicity of USSTRATCOM's RM Program that allows personnel the ability to drag and drop electronic records into their Office of Record's electronic file plan, that was created and maintained by their File Custodian, resulted in zero challenges of processing and safeguarding records during the COVID-19 pandemic. **Note:** Minimal personnel were required to telework in 2021; mostly due to the introduction of vaccines in February. When telework was required, access to NIPR records were, and still are, available.

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.*

If this question refers to areas of these offices in relation to Records Management, then the answer would be "Yes" as Strategic Command Instruction (SI) 930-01, Records Management Program, provides guidance on how to process records, safeguard PII and CUI within records, and offers copies of records of historical value to the Command Historian prior to destruction or submission to NARA; this instruction references Security, FOIA/PA, and Knowledge Management's instructions, which in-turn also reference the RM Program. If this question is referring to a combined guidance regarding these various offices in relations to RM, then our answer would be "No".

**4. Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

USSTRATCOM's Records Management Application (RMA), known as Micro Focus Content Manager (MFCM), meets DoD 5015.02-STD requirements regarding "Electronic Records Management Software Applications Design Criteria Standard". When electronic records are filed into NIPR and SIPR MFCM, we understand these records meet M-19-21 Goal 1.2, requirements. As stated, permanent electronic records reside in MFCM on NIPR and SIPR; however, as far as permanent records on TS and JWICS enclaves, these records reside in that Office of Records electronic file plan, created by the File Custodian, until their disposition is met and a declassification review is performed prior to transfer to NARA. The above mentioned policy is stated in Strategic Command Instruction (SI) 930-10 regarding "Records Management Program".

**5. Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

Answer to this question is similar to Question 4 of this SAORM Report, USSTRATCOM's RM Program requires all records to be created and maintained in electronic format; our personnel are directed to scan hard-copy records for filing into the Micro Focus Content Manager (MFCM). Each Quarter, File Custodians provide a status report to their Directorate Records Officer (DRO); the DRO monitors the progress regarding their Directorate, with Command Records Manager (CRM) oversight, to ensure all temporary and permanent hard-copy records are converted (scanned) as a ".pdf" and placed in MFCM. **Note:** This process is reflected in our Strategic Command Instruction (SI) 930-01, Records Management Program; along with CRM's briefing slides and tri-fold handout for personnel attending Action Officer Training; and taught during all CRM Records Management Training events.

**6. Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

Since USSTRATCOM's Policy requires all records to be created and maintained in electronic format and all personnel scan hard-copy records for electronic filing into Micro Focus Content Manager (MFCM), there are currently no plans to submit exception of M-19-21 to NARA.

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

In 2008, USSTRATCOM invested in Hewlett-Packard Total Records Information Management System (HP TRIMS) for its Electronic Records Management (ERM); the current Records Management Application (RMA) is an upgraded version of HP TRIM known as Micro Focus Content Manager (MFCM). MFCM is Cloud-capable for USSTRATCOM's transition to DoD365 on both NIPR/SIPR enclaves. Although MFCM is a valuable tool for record keeping and performing searches, there's still the need for a better tool to filter e-mails for eDiscovery, FOIA, and dispositioning permanent e-mails to NARA; additionally, there's no ERM for TS enclaves.

**8. Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

- Yes
- No
- Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

Although USSTRATCOM possesses some hard-copy temporary records in a certified storage facility located on Offutt AFB, a Memorandum of Agreement (MOA) with our host Base (55<sup>th</sup> Wing) allows for the safe keeping of our UNCLASSIFIED hard-copy records. No new hard-copy records have been added to this storage facility during my tenure as CRM (since 2014). Due to USSTRATCOM's compliance of M-19-21, no new hard-copy records have been sent, temporary or permanent, to the Base Storage Facility.

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

- Yes
- No
- Do not know

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

Although USSTRATCOM is fully-electronic with its Records Management (RM) Program and processes, the constant challenge is oversight of ensuring Command compliance. As the sole Command Records Manager, having to heavily rely on personnel assigned the additional duties in RM roles as either Directorate Records Officer (DRO) and/or File Custodian (FC) has proven to be one of the biggest challenges of RM compliance throughout the Command. These challenges include, but not limited to, dealing with high turnover rates of personnel assigned as DROs or FCs, ensuring proper training of their relief, and DROs provide oversight of the FCs within their Directorate.

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

- Yes
- No
- Do not know

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

Although USSTRATCOM has become fully electronic for recordkeeping, as the Command Records Manager, I'd like to know if NARA could provide easy step-by-step guidance on how to best submit permanent electronic e-mails to NARA upon meeting their disposition.

# APPENDIX D-13

UNITED STATES TRANSPORTATION  
COMMAND

**Senior Agency Official for Records Management  
2021 Annual Report  
DoD Component Input from *US Transportation Command (USTRANSCOM)***

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

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

#### Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #3, #4, #5, #6, #7, #8, and #10 require all DoD Components to provide a response.
- For Question #2 and #9, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Patricia Feist
- Position title: USTRANSCOM Command Records Manager
- Address: 508 Scott Drive, Scott AFB IL 62225

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable.*

- Yes
- No
- Do not know

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

The COVID-19 pandemic has continued to keep people out of the workplace, making it difficult to locate, package and ship records to Federal Records Centers (FRCs) for storage. Individuals are not available to identify or digitize records coupled with FRCs only operating at a 25% capacity, it is difficult to ship the records.

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.*

USTRANSCOM has not established a formal comprehensive information governance framework that integrates all roles and agency information lines of business as detailed in question #3. However, all agencies (CIO, CDO, FOIA, Privacy, Security and RM) work together to get the mission accomplished and have a well established working relationship. Additionally, USTRANSCOM has established separate and distinct directives which address the various key topics and roles as listed in the question such as the CIO/CDO, RM Staff, Records Management program, PII Information, and Enterprise Data Management, etc.

**4. Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

USTRANSCOM's goal is to locate, identify and eventually digitize permanent records. We are in the process of identifying which directorates are required to maintain permanent records, where those records are currently stored and what is the volume of the material. We are also in the process of establishing a records repository solution to house these electronic records. Depending on the volume of records, additional contract support may be required to achieve end-state. Also, USTRANSCOM transfers records to the Host Base 375th Wing staging area for shipment to NARA and Federal Records Centers. USTRANSCOM will continue to work to digitize all paper records.

**5. Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

Due to the current culture of telework and minimum onsite contact, USTRANSCOM has found it essential to work with electronic records. Saving records electronically allows the information to be available to everyone and at the time it is needed. A SharePoint electronic file cabinet has been created for USTRANSCOM records while awaiting the deployment of new records tools Content Manager, Control Point and Structured Data Manager. There may still be some temporary records that are not digitized by the deadline.

**6. Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

USTRANSCOM does not own the installation storage facility, the Air Force, 375 Air Mobility Wing, 375th Communications Squadron owns and operates the Scott AFB staging facility. USTRANSCOM has no plans at this time to use a commercial storage facility and are unsure if the 375 AMW will pursue an exception to the M-19-21 requirement.

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes

- No
- Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

USTRANSCOM is currently not at a place where we could consider contracting out the digitalization of paper records as we are unsure of the size of the job and the buildout of our Micro Focus RM solution is not complete.

**8. Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

- Yes
- No
- Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

At this point in time USTRANSCOM has no plans to use a commercial storage facility, it does not own the installation storage facility.

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

- Yes
- No
- Do not know

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

The digitization of legacy records. M-19-21 states that digitization and transfer must be made in accordance with NARA regulations and transfer guidance, including metadata; however, the regulations and guidance have not been released yet. The goal of full electronic recordkeeping is achievable just not in the timeframe allotted. Also, the lack of regulations and transfer guidance and COVID restrictions are having an impact, thus more time will be required and the regulations delivered.

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

- Yes
- No
- Do not know

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

IAW M-19-21 digitization and transfer must be made in accordance with NARA regulations and transfer guidance, including metadata; however, the regulations and guidance have not been released yet. By 30 September 2020 NARA was supposed to issue updated to provide clear standards for fully electronic recordkeeping, including electronic records storage, formats, and metadata, as well as transfer guidance. The field need this information to meet the mandates of M-19-21.

Due to Federal Record Centers not being available/open, it has been very difficult for bases to get their paper records transferred. Because of this, an extension to the 31 December 2022 is recommended.

The General Records Schedules (GRSs) are still under review. There has been lots of talk about going to a bucket schedule (6 months, 3 years, 7 years, permanent, etc.) for records. In fact, most of the services to include the CCMDs already use a bucket schedule for records, but the individual GRSs do not match those buckets. Since the GRSs are currently under review, recommend review of the bucket schedules in use and ensure alignment. The recommendation to remove the capability of changing those GRSs to meet the bucket is being removed. (If the retention is 2 years it can not be moved to the 3 years and will not be kept for 6 months.).

# APPENDIX E

OFFICE OF THE SECRETARY OF DEFENSE  
COMPONENT SAORM REPORT

**Senior Agency Official for Records Management  
2021 Annual Report  
DoD Component Input from *Office of the Secretary of Defense***

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

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

Instructions for Reporting:

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- For Question #2 and #9, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Luz D. Ortiz
- Position title: OSD Record Administrator
- Address: OSD Records and Information Management (RIM) Program  
Washington Headquarters Services  
Executive Services Directorate  
Records and Declassification Division (RDD)  
4800 Mark Center Drive, Suite 02F09-02  
Alexandria, VA

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable.*

- Yes  
 No  
 Do not know

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

- The development of collaborative platforms such as MS TEAMS and the DoD Cloud Solution (DoD 365) allowed the OSD RIM Program to expand its training program. The OSD RIM Program provides 15 hours of training quarterly to OSD Components worldwide, this includes the DoD Federal Advisory Committee (FACA) Program, Defense Agencies and Field Activities supported by Washington Headquarters Services (WHS) OSD Records Management Program. This has allowed us to engage with customers not previously contacted and address new RIM challenges via virtual environments.

Challenge:

- The closure and restrictions at the Federal Records Centers (FRCs). The FRCs COVID restrictions are impacting OSD's ability to transfer new accessions and return recalled records, with some components at maximum storage capacity. This has especially impacted the Defense Health Agency and the DoD medical community. Hospitals and clinics DoD-wide depend on the ability to transfer medical and hospital records to NARA's FRCs thus ensuring they are maintaining the records and information necessary for their accreditations, patients, business and operational requirements, and health and safety measures. The inability to transfer records has caused significant storage and safety issues at DoD medical facilities affecting compliance with Occupational Safety and Health Administration (OSHA) regulations.
- Additionally, due to the end of DoD overseas operations a significant amount of paper records was created and received in support of Operation Welcome Allies, which has added to this storage dilemma for the Defense Health Agency.
- The FRCs restrictions also impact the Records and Declassification Division who has oversight over the OSD RIM Program, in its ability to support the OSD Components in meeting the 31 December 2022 deadline of M-19-21. Currently, the program is limited in its ability to return records pulled and reviewed for declassification, and unable to transfer new approved accessions reducing the OSD RIM Program's capability to accept records for retirement to an FRC or accessioning directly to NARA, this can place records at higher risk of being re-absorbed into currently filing areas, mismanaged, or lost.

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.*

The RIM Staff has established relationships with the OSD FOIA Office, OSD Privacy Program, DOD/OSD Declassification Programs and the WHS Security Office; however, it has its challenges in the IT arena despite improved communications with the Defense Information Systems Agency (DISA)/DoD 365 Team.

Challenge: Lack of Operational CIO within OSD.

- Since the disestablishment of the OSD CIO in 2015 and the transfer of personnel to the DISA/Joint Service Provider, there has not been a dedicated Chief Information Officer for the OSD Components or Defense Agencies and Field Activities. While the Immediate Office of the Secretary of Defense is supported by SECDEF Communications and there are other OSD Components or Defense Agencies and Field Activities with semi-independent IT Staff -- such as Office of the Under Secretary of Defense (OUSD) for Policy and Office of the Under Secretary of Defense for Personnel and Readiness -- OSD overall does not. The lack of a dedicated CIO for the OSD Components, Defense Agencies and Field Activities causes a myriad of issues with coordinating records management efforts with CIO requirements this includes:
  - Planning for impacts of IT acquisitions and deployments, i.e. such as the OSD RIM Program was unable to assess real world impacts of Microsoft Office 365 licensing decisions.
  - The lack of full RM capabilities for the OSD Components embedded into DoD Cloud Solution (Microsoft Office 365) resulted in key differences for the auto retention feature and disposition review resulting in the need for custom scripting to provide some of these capabilities. Although, the solution will implement some RM controls and assist with the automatic retention of records and information within Microsoft Office 365, the disposition and oversight processes will remain manual and require OSD RIM Program to develop additional training for the RM community.

Challenge: Conflict responsibilities for managing records and information.

- Establishment of the Chief Data Officer, Essential Records Officers, Data Officers, Data Stewards, Data Management Officers and other positions within DoD with requirements that overlap with RM responsibilities.
  - The overlapping of responsibilities between RM, Data Management, Cybersecurity and Information Resource Management (IRM) has the

potential to create a high risk of conflict between the fields. Example: Traditionally records (regardless of format) are the purview of RM. This includes defining what information meets the criteria of a record, development of records and information lifecycles, establishment of policies and procedures for archiving and storage, requirements for archiving information maintained in electronic format, particularly in the planning, design and operation of information systems. Now these new positions are exerting an oversight and execution role over segments of the traditional RM equities that create conflict, like the collection of data without consideration to retention schedules, intellectual control, and/or business process.

- The lack of long term archiving storage solution.
  - OSD role as an oversight agency of DoD increases the value of records and information it creates and receives. In 2017 the OSD RIM program identified over 1000 known reports that the OSD Components, Defense Agencies and Field Activities provide to congress annually. This does not include adhoc responses to congressional correspondence from the oversight committees or POTUS. Approximately 1/3 of the records and information created and accumulated by the OSD Components and Defense Agencies and Field Activities is of long term value (retained for 10 years or more) to the Department and requires a viable, sustainable solution to ensure accessibility, reliability and security to store the Departments historical relevant information.

**4. Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

- Although OSD has made progress, such as developing new policies to assist offices with identifying data and coordinating with IT Staff (Joint Service Provider) on implementing disposition authorities into Microsoft Office 365 for the OSD Components, there are several missing ingredients into accomplishing this goal.

Challenges:

- Within OSD the primary issues include the lack of a long term storage solution, funding, staffing and coordination between CIOs, IT and RM. Other challenges include organizational resistance to change, management of digital classified information, competing IT systems and information silos.
- External to OSD the long delayed update to 36 CFR 1236 Electronic Records Management has caused significant concern among records managers wanting to digitize and destroy paper records.

**5. Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes  
 No  
 Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

- Due to IT consolidation and budgetary constraints a significant amount of the temporary records the OSD Components, Defense Agencies and Field Activities create will be migrated into enterprise wide information systems for finance, human resources, travel and housekeeping records. OSD RIM Policy allows components to manage temporary records in place (via integration of RM controls, use of share drives and SharePoint), once DISA/Joint Service Provider has implemented the OSD Records Disposition Schedules into the DoD's Cloud Solution.

**6. Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes  
 No  
 Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

- The OSD RIM Program has developed an exemption package template to allow the OSD Components, Defense Agencies and Field Activities to identify mission and operational paper records meeting the criteria set forth in M-19-21 and NARA Bulletin 2020-01. The Defense Health Agency and OUSD Personnel and Readiness are among the offices that are coordinating their packages for submission.

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes  
 No  
 Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

- The OSD Components, Defense Agencies and Field Activities provide their own contracting services, the OSD RIM Program does not track the acquisition of contracting services.

**8. Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

- Yes
- No
- Do not know

- To date none of the OSD Components, Defense Agencies and Field Activities have identified a need to obtain commercial storage.

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

- Yes
- No
- Do not know

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

Challenges: Budgeting and Manpower

- NARA and DoD/CIO should provide more vocal and transparent support to ensure DoD RIM programs are funded and manned to meet the agency needs. The OSD RIM Program does not have a budget outside O&M for transferring analog records to the FRCs. Our current manning levels vs the numbers of offices supported are not feasible to accomplish the more complicated goals identified in OMB A-130, M-19-21, and 36 CFR 1236. Additionally, the current staffing and budget constraints make meeting the requirements of OMB A-130, M-19-21, 36 CFR 1236 and DoD Information Resource Management Strategic Plan challenging at the component level without support from the oversight level. Currently, the OSD RIM Program is funded for a hybrid environment of analog records with scanning support and some electronic functionality. The OSD RIM Program recommends DoD CIO coordinate with NARA to identify appropriate manpower and job series geared the size and scale of agency RIM programs in an electronic environment.
- There is a clear need to create a budget line item for maintenance and support of RIM programs. Appropriate funding is necessary in order to provide our components with information life cycle processes including but not limited to:
  - Managing all permanent electronic records and email records electronically and retaining them in an appropriate electronic system that supports records management and litigation requirements (per OMB A-130 and OMB/NARA M 19-21)

- Maintenance of long term archiving solution for all OSD historical records and information across all networks. This includes IT staff dedicated to the maintenance of solution, coordinate ingestion of new content and migration of formats to accessible and readable formats (per OMB A-130)
- Declassification of classified information in electronic formats. The implementation of cloud solutions on classified networks increases the amount of information components create and store. ODNI, NARA, ISOO and DoD should coordinate to develop guidance necessary to review, redact and declassify records in classified information systems, networks and email electronically. (per E.O 13526)

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

- Yes
- No
- Do not know

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

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

# APPENDIX F

INDEPENDENT AGENCY INPUT TO  
DOD SAORM REPORT

# APPENDIX F-1

ARMY AIR FORCE EXCHANGE SERVICES

**Senior Agency Official for Records Management  
2021 Annual Report  
DoD Component Input from *Army and Air Force Exchange Service***

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

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

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- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Shanna Jones
- Position title: Agency Records Officer
- Address: 3911 S. Walton Walker Blvd, Dallas, TX  
75237

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable.*

- Yes
- No
- Do not know

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

Due to funding and in person resources during the pandemic some projects were placed on hold, including M-19-21, 1.2. While the delay was a setback AAFES is quickly getting back on track.

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.*

AAFES struggles to include records management in the design, implementation, and development of systems.

**4. Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

AAFES has implemented a new DoD 5015.02 approved Records Management Application that will electronically manage all permanent records and the appropriate metadata. A scanning initiative has been funded and is set to begin in March 2022 to digitize paper permanent records for eventual transfer to NARA.

**5. Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

Due to the pandemic the need to manage records electronically accelerated the completion of this goal. The majority of AAFES' temporary records have been transitioned to electronic format.

**6. Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

AAFES will not submit an exemption, we anticipate completing all M-19-21 goals.

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management ([518210 ERM](#)) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

Our solution was procured prior to SIN 518210 ERM. AAFES utilized GSA 36 as well as the DoD JITC 5015.02 certified system listing.

**8. Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

- Yes

- No
- Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

AAFES will not be storing records in an offsite commercial storage facility.

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

- Yes
- No
- Do not know

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

M-19-21 Goal, 1.2 - Digitization and collection of metadata is very costly and time consuming and should be seen as a manageable constraint.

M-19-21 Goal, 1.3 - AAFES information culture has been very informal, leaving employees to keep records in various unstructured locations with no enforcement of retention. The transition to a structured electronic environment will be a challenge for AAFES employees and could result in a substantial obstacle for successful implementation of this goal.

M-19-21 Goal, 1.4 - The AAFES Records Management Program consists of one lower-level full-time employee. The resources necessary to maintain a robust records management program and meet this goal are significantly lacking.

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

- Yes
- No
- Do not know

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

# APPENDIX F-2

DEFENSE COMMISSARY AGENCY

**Senior Agency Official for Records Management  
2021 Annual Report  
DoD Component Input from *Defense Commissary Agency***

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

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

#### Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #3, #4, #5, #6, #7, #8, and #10 require all DoD Components to provide a response.
- For Question #2 and #9, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Carol Chambliss
- Position title: Records Officer
- Address: 1300 E Avenue, Fort Lee, VA 23801

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable.*

- Yes
- No
- Do not know

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

- The practice of transferring and destroying paper records has been reduced due to the majority of the Agency working in a telework Status.
- Logistical complications
- The unavailability of National Archives and Records Administration (NARA) Federal Records Centers (FRCs) to accept records due to closure as a result of the COVID- 19 pandemic.

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.*

DeCA currently does not have a CDO, or DRO. The SAORM is at the DoD level.

**4. Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

- DeCA's goal is to meet the 12/31/2022 mandate.
- DeCA has the following series of permanent records listed below with a breakdown of the records that are in electronic format:

| Permanent Records Series | Years          | Volume          | Percentage Electronic |
|--------------------------|----------------|-----------------|-----------------------|
| Mission and Functions    | 2007 - Present |                 | 100%                  |
| Publications             | 1993 - Present |                 | 80%                   |
| Strategic Plan           | 2017 - Present | Less than 10 MB | 100%                  |
| Historian Files          | 2009 - Present |                 | 95%                   |
| Historian Files          | 2000 - 2008    |                 | 75%                   |
| Historian Files          | 1991 - 1999    |                 | 50%                   |
| I                        |                |                 |                       |

- Challenges for this effort include:
  - Limited Resources for scanning.

**5. Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes  
 No  
 Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

- It is DeCA's goal to meet the 12/31/2022 mandate to manage all temporary records in an electronic format.
- While progress has been made, there are some challenges with meeting the mandate to include:
  - Logistical challenges. We are a global organization with 237 store locations around the world to include overseas locations that do not provide storage services that meet NARA facility standards.
  - Limited Resources
  - The unavailability of NARA Federal Records Centers FRCs to accept records due to closure due to the COVID-19 pandemic.

**6. Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes  
 No  
 Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

- DeCA will closely monitor and reduce the volume of records that require conversion to electronic format.
- A waiver will be submitted by June 1, 2022 if it appears that the mandate cannot be met at this point. If necessary the request, will be for temporary records that:
  - have 3 years or less retention time remaining and have not been converted to electronic format.
- NOTE: It would not be cost effective to ship boxes of temporary records to the commercial storage and it will be requested that the records be destroyed in place as they expire.

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes  
 No  
 Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

DeCA's Acquisition for its Electronic Records Management Application (RMA) was submitted prior to the release of 518210ERM. DeCA is utilizing an RMA that was purchased under GSA Records Management Schedule 36.

**8. Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

- Yes  
 No  
 Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

No. If DeCA is unable to convert its records to electronic format by the mandate, the remaining records with 1 to 3 years of retention remaining will be requested an exception and to be destroyed onsite. This approach would be the most cost effective and least burdensome to our employees.

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

- Yes
- No
- Do not know

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

The unavailability of NARA Federal Records Centers FRCs to accept records due to closure due to the COVID-19 pandemic.

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

- Yes
- No
- Do not know

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

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

# APPENDIX F-3

DEFENSE CONTRACT AUDIT AGENCY

**Senior Agency Official for Records Management  
2021 Annual Report  
DoD Component Input from *Defense Contract Audit Agency***

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

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

#### Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
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- Questions #3, #4, #5, #6, #7, #8, and #10 require all DoD Components to provide a response.
- For Question #2 and #9, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Greg Sullivan
- Position title: Records Manager
- Address: Defense Contract Audit Agency (DCAA)  
8725 John J. Kingman Road  
Fort Belvoir, VA 22060-6218

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

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable*

- Yes
- No
- Do not know

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

The temporary closure and limited manning at some of the Federal Records Center facilities, affected our ability to transfer and retrieve records for some of our offices.

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.*

No. DCAA does not have a formal information governance framework. However, it does have an informal method of communication and relationships between the lines of business.

**4. Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

DCAA Permanent records are being preserved electronically with appropriate metadata, in accordance with DCAA's records schedule.

**5. Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

Temporary records are being managed electronically, with the exception of physical records maintained by the Federal Records Centers (FRC). Several Field Audit Offices (FAOs) still maintain a small volume of Contract Audit Assignment/Case Files, in paper and other physical forms that were created prior to 2009. The Records Manager is actively coordinating with the regional records officers and FAOs to: (1) determine if they can be destroyed; (2) transfer the records to a FRC prior to December 31, 2022; or, (3) convert the records to digital format, to be managed electronically.

**6. Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

We do not expect to submit an exception to the M-19-21 requirements at this time.

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

We do not plan on utilizing the GSA Special Items Number to procure solutions to assist in transitioning to an Electronic Environment.

**8. Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

- Yes
- No
- Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

DCAA does not store temporary records in commercial storage facilities.

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

- Yes
- No
- Do not know

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

DCAA transitioned to “Livelink” Electronic Records Management System (ERMS) in 2009. This system serves as DCAA’s official records repository, and meets NARA’s requirements to create, capture, and manage records in electronic format.

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

- Yes
- No
- Do not know

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

NARA and the DoD SAORM, continue to lead and drive the change to complete the vision of a fully digital government.

# APPENDIX F-4

DEFENSE CONTRACT MANAGEMENT  
AGENCY

**Senior Agency Official for Records Management  
2021 Annual Report  
DoD Component Input from *Defense Contract Management Agency***

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

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

#### Instructions for Reporting

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- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Provokie Williams
- Position title: Records and Information Management Specialist
- Address: 3901 A Avenue, Bldg 10500, Fort Lee, VA 23801

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable.*

- Yes
- No
- Do not know

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

The COVID-19 pandemic actually accelerated the Agency's shift towards practices necessary to electronically maintain records. It also increased awareness Agency-wide of the necessity to ensure records were accessible electronically due to the remote environment created by the pandemic.

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.*

DCMA's RIM issuance has recently been revised and updated; April 14, 2021. It establishes Agency-wide policy to integrate records management requirements into all DCMA Component information technology (IT) governance processes for portfolio management, risk management, capital planning, enterprise architecture, business process design, and system development. It also identifies and establishes a direct relationship between the ARO (RIM Program) with Agency CIO, Security, Privacy Officer, and FOIA to incorporate coordination requirements within their program processes.

**4. Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

DCMA RIM Integrated Process Team (IPT) recently completed identifying and formalizing the necessary business requirements to incorporate into our new RIM application under the IT Modernization Analytics Initiative (MAI). These business requirements address permanent records and standardized the metadata IAW with NARA's electronic records management requirements. This effort in conjunction with O365 records management capabilities will enable DCMA to preserve permanent records electronically by December 31, 2022.

**5. Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

DCMA RIM Integrated Process Team (IPT) recently completed identifying and formalizing the necessary business requirements to incorporate into our new RIM application under the Modernization Analytics Initiative (MAI). These business requirements address temporary records and standardized the metadata IAW NARA's electronic records management requirements. DCMA recently identified temporary records that have met their retention and are ready for disposition. The volume of records identified were substantial. This indicates that overall, the Agency is on track with the December 31, 2022 to manage all temporary records in electronic format.

**6. Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

Overall, DCMA is on track to ensure all the requirements of M-19-21 are integrated within the Records and Information Management Program by December 31, 2022. The majority of DCMA records are being managed within an EIS and business processes are being reviewed to ensure records are properly being electronically maintained. However, we have one office, Safety and Occupational Health, who has yet to address an electronic recordkeeping business process based upon the contract awarded and functions of the contract. Limited personnel resources have been identified as the main issue in how records are being managed.

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

DCMA currently uses the Agency's electronic Document Records Management System (eDRMS) for electronic recordkeeping requirements. This system was developed specifically for the DCMA mission of electronically capturing contract records created from the Contract Administration Services (CAS) provided by DCMA for DoD.

**8. Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

- Yes
- No
- Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

DCMA has no plans to use commercial storage facilities. DCMA continues to use NARA Federal Records Centers to store long term temporary records and permanent records.

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

- Yes

- No
- Do not know

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

DCMA challenges specific to the RIM Program continues to be “limited personnel resources dedicated solely to the program.” There is only 1 FTE dedicated within this Agency of 10000+ employees. There needs to be a dedicated team to support a viable RIM Program.

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

- Yes
- No
- Do not know

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

# APPENDIX F-5

DEFENSE COUNTERINTELLIGENCE AND  
SECURITY AGENCY

**Senior Agency Official for Records Management  
2021 Annual Report  
DoD Component Input from *Defense Counterintelligence and Security Agency***

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

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

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- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Ron White
- Position title: Records Management Specialist
- Address: Quantico, VA

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable.*

- Yes
- No
- Do not know

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

COVID-19 has not impacted policies or practices related to records management at DCSA.

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.*

DCSA has developed a Data Strategy under the agency Chief Data Officer that outlines goals for records management and data management that will align DCSA to the larger DoD Data Strategy.

**4. Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

DCSA has acquired an enterprise-wide electronic records management application (eRMA) with the capability to manage permanent electronic records and pre-acquisition them for transfer to NARA. Additionally the application will have administrative controls necessary to accurately track transfers of those permanent electronic records and know if and when there are records due for transfer to NARA.

**5. Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

Once fully implemented, the eRMA will allow DCSA will meet this goal. The eRMA will allow for full management and preservation of all temporary records in an electronic format throughout the lifecycle of the record.

**6. Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

At this time DCSA does not anticipate the need to request an exemption to any of the M-19-21 requirements before December 31, 2022.

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

DCSA has not yet been able to utilize GSA SIN 518210 ERA. The recent acquisition of an eRMA solution was an expansion of a system that was being utilized by the DoD CAF and was procured under another GSA SIN. DCSA has utilized GSA SIN 541511 to procure

professional services to expand use of the eRMA after acquiring it from merging with the DoD CAF.

**8. Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

- Yes
- No
- Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

DCSA does not have agency-operated storage facilities and does not plan to store temporary records in commercial storage facilities.

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

- Yes
- No
- Do not know

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

Funding and resources are two of the biggest challenges in meeting the goal of fully-electronic recordkeeping.

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

- Yes
- No
- Do not know

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

# APPENDIX F-6

DEFENSE FINANCE AND ACCOUNTING  
SERVICE

**Senior Agency Official for Records Management  
2021 Annual Report  
DoD Component Input from *Defense Finance and Accounting Services***

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

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

#### Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #3, #4, #5, #6, #7, #8, and #10 require all DoD Components to provide a response.
- For Question #2 and #9, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Ralph E. Mullins
- Position title: Records Program Manager
- Address: DFAS, 8899 E. 56<sup>th</sup> Street, ATTN: Column 218R (Ralph Mullins, Indianapolis, IN 46249)

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable.*

- Yes
- No
- Do not know

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

Defense Finance and Accounting Services (DFAS) has been teleworking as an agency since 17 March 2020. Some offices have personnel that are able to enter the sites for essential work to be completed. Temporary record transfers to the FRC for FY19 and FY20 were delayed for shipment due to Covid-19. These transfers will occur during FY22 prior to elimination of paper record transfers. DFAS has coordinated record transfers with the Dayton FRC to enable transfers.

Teleworking has also slowed the scanning of paper records for electronic storage. The scanning process will begin again in 2022.

Procedures were implemented to allow employees access to work sites during Covid-19 and electronic storage of records were encouraged and enhanced to meet mission requirements.

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.*

Yes, Coordination is made as updates and changes are made from various components to ensure information is disseminated. Communication between agency offices keeps the offices current on all records management issues. Electronic storage systems are managed to ensure records are preserved and safeguarded for proper retention.

**4. Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

Yes, all permanent records will meet the electronic format requirements. Any permanent records in paper format will be transferred prior to the end of FY22 or be transferred to the required electronic format.

**5. Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

Yes, existing paper records are either scheduled to being transferred to the FRC before the end of FY22 or transferred to storage in electronic format. Site Records Managers are coordinating with the respective offices to ensure the goal is met.

**6. Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

No. DFAS will not request an exception to meet requirements.

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

No, DFAS has worked with respective systems utilized by the agency and coordination made with the respective System Managers.

**8. Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

- Yes
- No
- Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

No, DFAS has no plans to store records in commercial storage facilities. DFAS is working to ensure all temporary records are stored electronically and enhance the use of teleworking in all offices within the agency.

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

- Yes
- No
- Do not know

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

Yes, the challenge of teleworking due to Covid-19. However, offices with DFAS are working on processes to allow employees to scan temporary paper records to assist in mission completion. The goal was slowed initially due to the restriction of employees allowed in the sites due to Covid-19.

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

- Yes
- No
- Do not know

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

No. NARA has allowed some functions to begin again (record transfers) with coordination with the respective FRCs through telephonic and email traffic.

# APPENDIX F-7

DEFENSE INFORMATION SYSTEMS AGENCY

**Senior Agency Official for Records Management  
2021 Annual Report  
DoD Component Input from *Defense Information Systems Agency (DISA)***

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

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

#### Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
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- For Question #2 and #9, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: LaTosha S. Thomas
- Position title: Agency Records Officer
- Address: 6914 Cooper Ave Fort Meade, MD 20755

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable.*

- Yes
- No
- Do not know

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

Due to the Pandemic, physical records inventories have been challenging as people have refrained from coming into the office.

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.*

As a newly appointed ARO, I have relationships with the CIO and the Privacy Officer. The CDO is a new organization that has recently been instantiated under DISA's Enterprise Integration and Innovation Center so I anticipate building a relationship with them. I attend the bi-monthly meetings with the DOD CIO office of the SAORM and have engaged with personnel from that group. I have yet to engage with Security and FOIA. I am unaware of any official established governance that integrate all these groups for DISA.

**4. Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

About 90 percent of the agency have already transitioned to electronic records. Those that have not, we are working to assist them with the transition. The goal is to be 100 percent transitioned by the end of 2022.

**5. Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

All temporary records for the agency are already in electronic format.

**6. Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

No exception needed as we are on track to meet the deadline for M-19-21.

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management ([518210 ERM](#)) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

Not applicable. We are already in an electronic environment.

**8. Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022? \***

- Yes
- No

Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

DISA does not use commercial storage facilities for our temporary records.

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

Yes

No

Do not know

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

Not Applicable

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

Yes

No

Do not know

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

# APPENDIX F-8

DEFENSE LOGISTICS AGENCY

**Senior Agency Official for Records Management  
2021 Annual Report  
DoD Component Input from *Defense Logistics Agency***

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

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

#### Instructions for Reporting

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- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Cecilia Wiker
- Position title: Agency Records Officer
- Address: 74 Washington Ave N

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable.*

- Yes
- No
- Do not know

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

The closure of the NARA WNRC and FRCs has negatively impacted the shipping of records to those facilities during the pandemic creating a backlog of physical records at the DLA Component offices.

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.*

The DLA RIM program falls under the Chief Data and Analytics Division under the Privacy/FOIA office. The DLA RM office works in coordination with the Privacy/FOIA office; however, there is no routine interaction with the CIO or security staff.

**4. Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

Initially it was determined DLA would meet the requirement; however, Covid-19 and loss of personnel within the RIM program staff has created unforeseen hurdles.

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

**5. Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

- DLA is progressing towards managing the majority of its short-term temporary records in electronic format
- There are still areas within the agency that rely on paper for their long-term records (i.e., hazardous contracts that are retained for 50 years) and other similar types contract records and the RIM program is working to coordinate with these offices on a transition plan.

**6. Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

- DLA plans to submit a waiver prior to May 30, 2022

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

- The DLA Records Officer is not included in conversations/meetings regarding the modernization of managing information.

**8. Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

- Yes
- No
- Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

- Records Management plans to submit a recommendation to engage with a commercial storage facility due to the long-term (50 plus year contracts) that are maintained in paper to ensure access over the course of the records lifecycle.

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

- Yes
- No
- Do not know

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

- In DLA the lack of automation and integration of systems across business processes and the understanding by personnel across the agency about the importance of managing records and information and placing the burden on the end-user to saving unstructured electronic documents that, according to AIIIM, make-up 80% of records.

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

- Yes
- No
- Do not know

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

- Designate a Senior Agency Official-Records Management (SAORM) at the lowest level (i.e., Independent Agency Level) vice at the Department level (i.e., DoD).
  - The SAO-RM role is defined as bridging the gap between the agency head and the Records Officer (ARO) in order to provide strategic direction for the agency's records management program.
  - As the ARO for the DLA Program I have no interaction with the DoD SAO-RM. I have consistently answered "NO" to the annual NARA RMSA SAORM question "Does your Agency Records Officer meet regularly (four or more times a year) with the SAORM to discuss the agency records management program's goals? (For components of a department, this is most likely at the department level.)"
  - I also have no regular meeting with the DLA Chief Information Officer (CIO) that is delegated the responsibility for the DLA RIM program; however, he is not officially designated as a NARA or DOD SAORM.
  - The lack of having a designated SAORM at the lowest level degrades the importance of records management and its benefits to managing records and information to support the legal, financial, and business needs of an agency.

# APPENDIX F-9

DEFENSE TECHNICAL INFORMATION  
CENTER

**Senior Agency Official for Records Management  
2021 Annual Report  
DoD Component Input from *Defense Technical Information Center***

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

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

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- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- Name of SAORM: Yvette R. Jacks
- Position title: Deputy Administrator / Chief Information Officer
- Address: 8725 John J. Kingman Highway

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

*DoD Note: The DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable.*

- Yes
- No
- Do not know

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

During the pandemic DTIC has implemented maximum telework. DTIC adjusted routine meetings and record inspections around maximum telework.

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.*

DTIC's data governance initiative is focused on the DoD S&T information DTIC is chartered to collect from across the DoD; this material is not DTIC record material. DTIC's business records are largely held in service provider systems and email.

**4. Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

The Administrative schedule for DTIC was approved by NARA in 2020 and is active. In late 2019 DTIC released updated records management policy guidance inclusive of electronic records management. This policy is being revisited with DISA, DTIC's IT service provider, to ensure technology alignment to policy.

**5. Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

The Administrative schedule for DTIC was approved by NARA in 2020 and is active. In late 2019 DTIC released updated records management policy guidance inclusive of electronic records management. This policy is being revisited with DISA, DTIC's IT service provider, to ensure technology alignment to policy.

**6. Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

M-19-21 states that by December 31, 2022, all temporary records in Federal agencies will be managed electronically, to the fullest extent possible. DTIC is managing all temporary records, to the fullest extent possible.

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

518210ERM. Electronic Records Management Solutions (ERM) provide a comprehensive capability to solve the complex challenges posed by the movement, manipulation, archiving, security, and management of electronic records. The vendor provides professional management and administrative support personnel with the necessary skills to perform

effective record management services for both classified and/or unclassified records. The services are provided using either Government or vendor equipment and facilities or a combination of both. The objective of electronic records management services is to permit the access, maintenance, control, storage, disposition, and transfer of electronic records. Includes any ancillary supplies and/or services necessary to provide a total electronic records management solution.

DTIC is a consumer of enterprise IT and business systems; we do not have our own electronic records management system. DoD CIO and DISA should ensure RM is integrated into all enterprise service offerings.

**8. Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

- Yes
- No
- Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

DTIC is a consumer of enterprise IT and business systems; we do not have our own electronic records management system. DoD CIO and DISA should ensure RM is integrated into all enterprise service offerings.

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully electronic recordkeeping?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

- Yes
- No
- Do not know

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

DTIC is a consumer of enterprise IT and business systems; we do not have our own electronic records management system. DoD CIO and DISA should ensure RM is integrated into all enterprise service offerings.

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

- Yes

- No
- Do not know

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

Recommend that NARA recognize DoD is one cabinet-level/CFO agency; inspections of DoD components certainly help us all to improve but, when it comes to matters of enterprise solutions and capabilities, NARA should address these at the enterprise level.

# APPENDIX F-10

DEFENSE THREAT REDUCTION AGENCY

**Senior Agency Official for Records Management  
2021 Annual Report  
DoD Component Input from *Defense Threat Reduction Agency***

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

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

#### Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DOD Component to replace the red markers at the top of this page and the footer.
- Question #1 will be answered by the DOD SAORM and does not require DOD Component input.
- Questions #3, #4, #5, #6, #7, #8, and #10 require all DoD Components to provide a response.
- For Question #2 and #9, the DOD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DOD Component Point of Contact: Earl E. Washington, Jr.
- Position title: Chief, Records Management, FOIA/Privacy Act Division /Agency Records Officer
- Address: 8725 John J. Kingman Road Fort Belvoir, VA 22060

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DOD Component?**

*DoD Note: DOD SAORM will provide this response at the DOD level. Please include any specific information for your component's records management program that is applicable.*

- Yes
- No
- Do not know

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

The Defense Threat Reduction Agency (DTRA) had no major impacts to policies or practices related to the records management program. The significant change was being able to work virtually verses on-site.

The COVID environment forced DTRA into full electronic correspondence due to maximum virtual work. This accelerated our timeline / Agency practices for electronic records management.

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'do not know,' please explain your response.*

The DTRA Records Management (RM) Program is located in the Information Technology Directorate and reports to the Knowledge, Data, and Digital Services Department, under the management of the Chief Data Officer (CDO). The CDO is a newly formed position with DTRA. As the Office of the CDO stands up, RM will be integrated into the framework that governs Data and Records Management, which is aligned to the Chief Information Officer Policies and priorities. The framework is governed by the Data Management and Records Management Strategic Plans.

**4. Will your DOD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

The DTRA is making progress identifying an Agency-wide solution to manage records electronically. The team continues to evaluate internal and Federal best practices to achieving the goal of managing all permanent records electronically. The DTRA Records Information Management (RIM) team has worked closely with Agency stakeholders to identify and develop additional functional requirements utilizing a cost-effective Agency-wide solution using SharePoint 2016 Record Center. The records management team is collaborating with the Agency Directorates to transfer permanent paper records to electronic format, and storing the records in file folders with the correct series and description, per guidance from NARA. The RIM team is utilizing SharePoint to implement records management solutions in the records center site and to comply with the mandate to manage records electronically.

**5. Will your DOD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

The DTRA RIM team is collaborating with the DTRA stakeholders (or Records Managers) to transfer temporary records to electronic format. These new records are stored in electronic file folders with the correct series and description, per guidance from NARA. Temporary records are managed in accordance with general records schedule and disposition dates. To date, DTRA has achieved its goal of 50% of temporary files in electronic format. We have an estimated completion of December 31, 2022 to have all temporary files converted to electronic format.

**6. Does your DOD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'do not know,' please explain your response.*

At this time DTRA is on target for managing all permanent and temporary records electronically, and has no plans to submit a request for an exception to M-19-21 before December 31, 2022.

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'do not know,' please explain.*

DTRA is not utilizing the General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment. DTRA is making progress identifying an Agency-wide solution to manage records electronically. The team continues to evaluate internal and Federal best practices to achieving the goal of managing all permanent records electronically. DTRA continues working with stakeholders to identify and develop additional functional requirements for a cost-effective Agency-wide solution and to provide recommendations on associated pilot programs.

**8. Has your DOD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

- Yes
- No
- Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'do not know,' please explain.*

The DTRA RIM team is collaborating with DTRA stakeholders (Records Managers) to transfer permanent paper records to electronic format. These new records are stored in electronic file folders with the correct series and description, per guidance from NARA. The DTRA RIM team is utilizing SharePoint to implement records management solutions in the records center site to comply with the mandate to manage records electronically, and utilized in-house resources to scan and store all records electronically.

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

*DoD Note: DOD SAORM will provide this response at the DOD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

- Yes
- No
- Do not know

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

The DTRA Records, Information & Forms Management Program has achieved approximately 50% of temporary records and approximately 45% of permanent records, and is on track for 100% completion by December 31, 2022.

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

- Yes
- No
- Do not know

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

# APPENDIX F-11

MISSILE DEFENSE AGENCY

**Senior Agency Official for Records Management  
2021 Annual Report  
DoD Component Input from *Missile Defense Agency***

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

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

#### Instructions for Reporting

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Insert the name of the applicable DoD Component to replace the red markers at the top of this page and the footer.
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- For Question #2 and #9, the DoD SAORM requests that Components provide any information that may be applicable.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Pamela D. Whitehead, Ph.D.
- Position title: Agency Records Officer
- Address: 5222 Martin Road, Redstone Arsenal, AL 35898

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable.*

- Yes
- No
- Do not know

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

No. Due to electronic records management and the practices and policies that were already in place pre-COVID, there were no impacts due to COVID-19. The Missile Defense Agency's Records Management Program is a mature program that is comprised of Records Liaison Officers who are appointed and trained to execute the records program throughout the Agency. Further, the MDA utilizes an electronic management system, Electronic Content and Records Tool (ECaRT), for the storage of official records, including the storage of privacy records which are stored in the Privacy Protection Zone of ECaRT. Additionally, MDA has a current policy, MDA Directive 8180.01, "Enterprise Records Management", that documents and communicates appropriate records management procedures.

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.*

Yes. The Missile Defense Agency has both staff and policy as part of the governance framework for records management. There is an appointed Agency Records Officer (ARO) with the required certification in Federal Records Management from the National Archives and Records Administration. The Records Program is supported by a core team comprised of a Records Specialist and an ECaRT Application Specialist along with a distributed team of Primary and Alternate Records Liaison Officers that are trained and appointed in writing for each area of record and are reappointed annually. From an organizational perspective, the Records Management Program is located in the Office of the CIO, is considered a key program office, and the ARO is in regular communications with the CIO and other senior leaders. Further, objectives, goals, and measures have been identified and are routinely measured. The Agency invests in a DoD 5015.02-Standard electronic records management application to ensure digital capacity and compliance. The Governance framework also includes an Agency level directive, MDA Directive 8180.01, "Enterprise Records

Management”, that provides guidance for the proper implementation of records management. The ARO works collaboratively with the Chief Privacy and Civil Liberties and Transparency Officer to jointly address records and privacy concerns. Further, the ARO has assigned responsibilities in the fulfillment of FOIA requests and partners with data and email management personnel as necessary to satisfy FOIA requirements. Security is the foundation of the entire framework and is documented through Agency policy and implemented through technology with the use of user-based permissions, where applicable.

**4. Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

Yes. The Missile Defense Agency currently manages all permanent records in electronic format with the appropriate metadata tags for data queries and searches. As an example, all permanent records are stored in the MDA electronic records repository and tagged with the appropriate records detail that describes its content. To date, there are more than 20,000 permanent records stored electronically, each with the appropriate metadata.

**5. Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

Yes. The Missile Defense Agency currently manages the vast majority of temporary records in electronic format with the exception of approximately 300 boxes of paper records, which are long-term contract records for programs that have spanned decades. The Agency's Records Management Office is working a contract action to digitize the existing paper records inventory by the 31 December 2022 deadline.

**6. Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

No. There are no plans to submit an exception for M-19-21. The Agency's Records Management Office is working a contract action to digitize the existing inventory of approximately 300 boxes of paper records by the 31 December 2022 deadline.

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

No. The Missile Defense Agency has established an interagency agreement with the Defense Logistics Agency (DLA) to procure services to digitize the existing inventory of 300 boxes of temporary paper records.

**8. Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

- Yes
- No
- Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

Yes. The Missile Defense Agency has established an interagency agreement with the Defense Logistics Agency (DLA) to procure services for the digitization of the existing inventory of 300 boxes of temporary paper records. The Agency will no longer require physical storage for temporary records after 31 December 2022.

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

- Yes
- No

Do not know

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

No. There are no predicted challenges in meeting the requirements of electronic record-keeping identified in M-19-21 by the 31 Dec 2022 suspense.

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

Yes

No

Do not know

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

No, There are no suggestions for improvement at this time.

# APPENDIX F-12

NATIONAL GUARD BUREAU

**Senior Agency Official for Records Management  
2021 Annual Report  
DoD Component Input from *National Guard Bureau***

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

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: Transition to Electronic Records (M-19-21) to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

#### Instructions for Reporting

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- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Joshua Spann
- Position title: Agency Records Officer
- Address: 111 S George Mason Dr, Arlington, VA  
22204

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

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

**2. Has the COVID-19 pandemic impacted policies or practices related to records management at your DoD Component?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program that is applicable.*

- Yes
- No
- Do not know

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

Note: The inputs for this report are for the National Guard Bureau Joint Staff and Office of the Chief of the National Guard Personal and Special Staff. The Army National Guard and Air National Guard have provided input through their respective Service for input into their Service's SAORM report.

The NGB Joint Staff has not conducted a full records inventory since 2014. The National Guard Bureau does not have records schedules or dispositions for records other than the National Archive and Records Agency's (NARA) pre-established General Records Schedule (GRS). The limited ability to conduct in-person records inventory in 2021 due to HPCON restrictions has further elongated NGB's compliance for records management requirements.

**3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

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

- Yes
- No
- Do not know

*Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response*

NGB Joint Staff has developed a new Instruction and is working on publishing a new manual to lay the foundation for establishing an integrated framework. Additionally, NGB Joint Staff, based on NARA guidance, will develop a Records Management strategic plan that nests under our CIO's information framework.

**4. Will your DoD Component meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

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

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

The NGB does not have records schedules or dispositions for records other than NARA's pre-established General Records Schedule (GRS). The limited ability to conduct an in-person records inventory in 2021 due to HPCON restrictions has further elongated NGB's implementation of M-19-21, 1.2. NGB is currently implementing an organization wide records inventory. It will also inform NGB of the current scope for digitizing all hard copy permanent records into electronic format.

**5. Will your DoD Component meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

- Yes
- No
- Do not know

*Please explain your response (include specific goals, example metrics, and/or challenges):*

The NGB does not have records schedules or dispositions for records other than NARA's pre-established General Records Schedule (GRS). The limited ability to conduct in-person records inventory in 2021 due to HPCON restrictions has further elongated NGB's implementation of M-19-21, 1.2. NGB is currently implementing an organization wide records inventory. The inventory will also inform NGB of the current scope for digitizing all hard copy temporary records into electronic format.

**6. Does your DoD Component have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.*

A full records inventory is being completed to assess how much additional time will be requested to implement M-19-21.

**7. Is your DoD Component utilizing the General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes
- No
- Do not know

*Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.*

NGB is currently reviewing this as an option for the future.

**8. Has your DoD Component developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?\***

- Yes
- No
- Do not know

*\*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

*Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.*

Until the full records inventory is complete and the full scope of NGB's records is identified NGB does not know if exceptions will be requested or required.

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

*DoD Note: DoD SAORM will provide this response at the DoD level. Please include any specific information for your component's records management program and senior leader support that is applicable.*

- Yes
- No
- Do not know

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

Federal Records Centers were not fully operational for a majority of 2021 making implementation of M-19-21, 1.3 difficult.

**10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

- Yes
- No
- Do not know

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

Recommend hosting collaborations with inter/intra-agencies' SAORMs and AROs; creating working groups on best practices for e-record migration, email journaling, litigation holds, inventories, and data loss prevention mechanisms. Additionally, NARA should provide a solution that enables all agencies to utilize the same data platform, in a secure and reliable way ensuring that all data meets the core fundamentals of integrity and immutability. Consolidating this effort at the head agency level hosted platform would ensure all data handlers are utilizing the same platform with maximum collaboration.