Senior Agency Official for Records Management

2022 Annual Report

21 March 2023

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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

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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) maintains the same governance structure as reported in previous years, 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) Memorandums M-19-21, Transition to Electronic Records and M-23-07, Update to Transition to Electronic Records, 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	Component SAORM	DoD Components Covered
Mr. David Markowitz Acting Chief Information Officer	Dept. of Army	Mr. Darren Irvine Director, Executive Services Division, Washington Headquarters Service	Office of the Secretary of Defense
Ms. Denise M. Szelag Acting Assistant for Dept. of Navy Administration	Dept. of Navy	Ms. Christine Condon SAORM and Deputy CIO for Resources and Analysis	Army and Air Force Exchange Services
Mr. James Bishop Chief Information Security Officer	Dept. of Air Force		Defense Commissary Agency
Ms. Catherine Zakary Director of Management, Joint Staff	Office of the Chairman of the Joint Chiefs of Staff		Defense Contract Audit Agency
	National Defense University		Defense Contract Management Agency
	US Africa Command		Defense Counterintelligence and Security Agency
	US Central Command		Defense Finance and Accounting Service
	US Cyber Command		
	US European Command		Defense Information Systems Agency
	US Indo-Pacific Command		Defense Logistics Agency
	US Northern Command		Defense Technical Information Center
	US Southern Command		Defense Threat Reduction Agency
	US Space Command		
	US Special Operations Command		Missile Defense Agency
	US Strategic Command		
	US Transportation Command		National Guard Bureau

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

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

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

Throughout the Department, many temporary adaptations to DoD Component processes implemented in response to the COVID-19 pandemic have become permanent improvements to the management and preservation of electronic records. DoD Components have identified the following:

- The Office of the Chairman of the Joint Chiefs of Staff (OCJCS) uses the DoD365 environment as a new location for records storage. OCJCS is working to develop policies and guidance to properly preserve the records in DoD365.

- The United States Central Command (USCENTCOM) has continued on-site support and assessment to all HQ Directorates and Special Staff offices that were impacted by COVID-19. USCENTCOM continues to adopt and use virtual training to ensure record management compliance.

- The United States Indo-Pacific Command (USINDOPACOM) is currently implementing a records management tool on SIPR.

- The United States Strategic Command (USSTRATCOM) now allows most personnel to telework who were previously not allotted the opportunity to do so. In 2022, tablets were purchased and issued to assigned USSTRATCOM personnel that allows individuals to log into their SIPR profile with the use of a card reader. USSTRATCOM records management program allows personnel to drag and drop electronic records created while teleworking into their electronic file plan.

- The Department of Army (Army) and Air Force Exchange Services (AAFES)'s efforts to digitize most temporary record format was accelerated due to the COVID-19 pandemic.

- The Defense Commissary Agency (DeCA) introduced a permanent change to a DeCA system to allow print to PDF only. This change forced the elimination of paper records and allowed staff to keep documents electronic from start to finish.

- The Defense Contract Management Agency continues to implement practices and business processes necessary to maintain official records electronically to the fullest extent possible, resulting from the adoption of more hybrid work environments.

- The Defense Finance and Accounting Services (DFAS) continues to telework, and electronic storage has been encouraged and enhanced to meet mission requirements. Procedures were implemented to allow employees access to work sites during COVID-

19, and DFAS coordinated with the Dayton Federal Records Center to transfer records in response to the shipment delays due to COVID-19.

- The Defense Logistics Agency (DLA) expanded to full-time telework which helped transition to electronic records more quickly, which included updated processes to utilize SharePoint and Microsoft Teams.

- The Defense Technical Information Center's response to COVID-19 served as a forcing function for electronic records management and to formalize processes to inspect electronic records.

3. Action towards Managing All Permanent Records in Electronic Format with Appropriate Metadata

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

☑ Yes
☐ No
☐ Do not know

Most DoD Components have taken action to meet the goal to manage, preserve, and transfer all permanent records in electronic format with the appropriate metadata by June 30, 2024. For use department-wide, DoD is developing records management policy, metadata, and requirements for information technology (IT) systems and services to assist in this effort. This includes a new DoD Manual and the first DoD Records Strategy, which are expected to be published this fiscal year. The DoD Manual will replace the DoD 5015.02-STD and provide guidance to IT Staff for electronic records management planning, including detailed information on the required metadata, capture of metadata, requirements for disposition of all records, and specific permanent records considerations.

The DoD Records Strategy establishes three goals to provide direction for DoD to mitigate risks while leveraging records as valuable resources: records are curated, records management processes are automated, and governance accountability is clear. To support these goals, the strategy discusses the unique RM requirements for metadata to curate and manage records throughout their lifecycles, which includes the metadata that accompanies permanent records when transferred to NARA. To support these requirements, the Strategy defines a set of approaches for the DoD SAORM and stakeholders across DoD and communities, which includes defining a metadata standard for records interoperability.

NGB and the National Defense University (NDU) responded they have not taken action to meet this goal. NGB is currently under a "do not destroy order" and working to complete their records schedule for approval by NARA. While most of NDU's permanent records have been safeguarded using SharePoint, they plan to include metadata by June 2023.

4. Action towards Managing and Preserving all Temporary Records in Electronic Format

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

☑ Yes
☐ No
☐ Do not know

All DoD Components have taken action to meet the goal to manage and preserve all temporary records in electronic format by June 30, 2024. Notably, the Department of the Navy (DON), United States Space Command, and the Defense Information Systems Agency (DISA) has met this goal with all temporary records managed and preserved in an electronic format.

5. Requirements to Close and Transfer Temporary Records

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

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

While many DoD Components will meet the M-19-21, 1.3 and M-23-07, 1.3 requirements to close agency-operated records storage facilities and transfer inactive, temporary records, several DoD Components will be unable to do so by June 30, 2024. The following DoD Components responded they would not meet the requirements or did not know if they would meet the requirements by the deadline:

- The Department of the Air Force (DAF) does not have an agency-operated records storage facility required to be closed; however, DAF wants to disincentivize DAF functionals and units to generate hardcopy records and is working to close 100% of base staging areas by the deadline.
- USCENTCOM responded they will not meet the requirements to close agency-operated records storage facilities and transfer inactive, temporary records to Federal Records Centers or commercial records facilities; however, USCENTCOM does not have an agency-operated records center.
- The United States European Command (USEUCOM) does not know if they will meet the requirements as the declassification process to transfer records to NARA takes one to two years. USEUCOM may meet the deadline to scan paper records; once these records are scanned, the storage facility will be closed.
- USSOUTHCOM does not know if they will meet this requirement. USSOUTHCOM has established a process to locate, prepare, and ship records to the Federal Record Center; however, ongoing programmatic development and inspections and data calls continuing to discover paper records, USSOUTHCOM is unlikely to meet the deadline to ship the records.

- AAFES does not know if they will meet the requirements as they need further clarification on whether some temporary records in a secure holding area are excluded from this memorandum.
- DLA has identified offices that are in the process of transitioning to electronic records and require a longer timeframe to meet the requirement. An exception request was submitted to extend the suspense date to January 2028 to allow contracts to be closed.
- DTIC does not know if they will complete the requirement as they are a consumer of enterprise IT and business systems and do not have their own electronic records management system.
- NGB will not meet the requirements. Until NGB's records inventory is complete, and the scope is identified, NGB does not know if an exception will be required or required.

6. Information Governance Framework

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

☑ Yes
☐ No
☐ Do not know

The DoD continues its work to establish stronger relationship with those throughout the information governance framework, such as information enterprise, cybersecurity professionals, and information technology professionals, the General Counsel, and privacy and FOIA officials. The DoD SAORM is strategically organized within the Office of the DoD Chief Information Officer and has a working relationship with these stakeholders. For example, the DoD SAORM is collaborating with colleagues within the DoD CIO organization as well as the General Counsel to revise policies and procedures addressing records management of mobile data and text messages.

Many of the principles and practices addressed in OMB memorandum M-19-18, Federal Data Strategy – A Framework for Consistency are incorporated in the goals and approaches of the draft DoD Records Strategy. For example, the strategy goal to curate records to exploit the value of records for decision making incorporates the principle "ensure relevance." The goal to automate records processes incorporates the principles "invest in learning" and "develop leaders." Finally, the goal to govern records across the lifespan to assign clear accountability incorporates the principles "exercise responsibility" and "practice accountability." In addition, the strategy encourages 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. DoD Component frameworks include placement of the records management program, such as under the component's Chief Information Officer or information governance framework, records management inclusion in strategic planning, acquisition, and coordination processes, and specific DoD Component-level policies incorporating records management with other disciplines. DoD Components who do not have an established information governance framework often still have

informal relationships with other stakeholders. Full details on DoD Components' information governance frameworks can be found in the appendixes.

7. Policies and Procedures to Ensure the Capture and Preservation of Electronic Messages

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

☑ Yes
☐ No
☐ Do not know

The DoD continues its work to develop policies and procedures to ensure the capture and preservation of electronic messages, including when hardware or software is upgraded. DoD Instruction 5015.02, DoD Records Management Program, amended 2017, codifies the policy for electronic messages capture and preservation. When implementing this policy, almost all DoD Components use the Capstone approach of the General Records Schedule (GRS) 6.1 for email, and many DoD Components are considering using the expanded GRS 6.1 to capture and preserve additional types of electronic messages of Capstone officials and other staff. DoD is assessing the need for additional policy and considering technical solutions to further automate management of electronic messages and future upgrades to hardware and software.

Once finalized, the DoD Manual 8180.aa, "Information Technology Planning for Electronic Records Management," can be used by DoD Components for any DoD IT acquisition, configuration, implementation, and maintenance. The DoD plans to resource an upgrade to Microsoft 365 E5 Enterprise Plan for all DoD employees which will provide advanced records management capabilities and support records management improvements.

Recent audits and Freedom of Information Act requests identified violations of DoD electronic messaging and records retention policies. Additional policy and procedures are being specifically considered for electronic messages created and received via mobile devices. As technology continues to evolve, DoD will work closely with components and relevant stakeholders to identify and update policies and procedures to ensure capture and preservation of electronic messages in all forms to ensure transparency, accountability, and compliance with legal and regulatory requirements.

At the Component level, policies and procedures to ensure the capture and preservation of electronic messages vary from Component to Component. Many components developed policies and procedures that address email and other electronic messages, including restricting the use of electronic messages to approved mobile applications and incorporating records management considerations for software and hardware updates and developments. Full details can be found in the appendixes of this report.

8. Using or Exploring Cognitive Technologies

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

☑ Yes

☐ No
☐ Do not know

Many DoD components are using or exploring cognitive technologies to identify and distinguish between temporary and permanent retention. Due to regulatory and statutory guidance, cognitive technology use will vary from component to component. The following DoD Components are exploring cognitive technologies that can be applied to recordkeeping practices and procedures:

- Army is using Microsoft 365 and its services packages to ensure the identification of records, either temporary or permanent, are being marked appropriately and maintained according to their retention policies.

- The DON is currently working with Microsoft in pursuit of Artificial Intelligence (AI) capabilities such as Microsoft Power Apps and Power BI Apps that can automate retention and identify specified record types. In addition, the DON is also exploring the Active Navigation (ActiveNav) tool to manage data and data migrations within the cloud platforms.

- NDU responded they are using or exploring cognitive technologies as they plan to use SharePoint as their records repository until a compliant records management system has been acquired.

- DeCA's records management application search and retrieval process is fully automated and based on metadata to include metadata that identifies temporary and permanent records.

- DISA is exploring the possibilities of acquiring the Feith Systems RMA IQ software. The RMA IQ software allows you to record, archive, and dispose of temporary records; it also assists in using, finding, and analyzing stored records for permanent preservation.

- DLA is exploring the use of File Analysis Software. This software will facilitate automating the administration of the RIM program and will help create and manage file plans and records that support administrative and program records.

- The Missile Defense Agency (MDA) is currently using the Open Text Content Server 22.2 Tool that helps enhances auto-scheduling and tagging. MDA is also looking to implement the Data Loss Prevention that would utilize auto-categorization and metadata tagging as part of its artificial intelligence efforts.

- USCENTCOM is utilizing Micro Focus ControlPoint to help create searches to discover types of records and automate processing of responsive records. The command is also seeking a solution that utilized AI and Machine Learning to improve accuracy in identifying record types and automate processing records into the Electronic Records Management Application.

9. Records Management Program Compliance

Do you as SAORM

☑ Yes
☐ No

☐ Do not know

DoD continues to improve and develop foundational guidance to evaluate the effectiveness of the records management program and its compliance with statues and regulations. DoD leverages the results of NARA annual reporting, including the SAORM Annual Report, Records Management Self-Assessment, Federal Electronic Records and Email Management Maturity Model Report, as well as NARA and DoD Inspector General inspection findings to identify trends and capability gaps. DoD Components receive annual fiscal guidance on information technology investments which directs fiscal year resourcing. DoD prioritized resources for RM capabilities to close the most critical gaps (i.e., statutory, regulatory, and policy violations, and record loss risks). Due to the prioritization of RM, reporting and assessing progress on these investments is mandatory by all of DoD Components.

Due to the federated approach of DoD records governance, DoD Components play a key role in evaluating the effectiveness of their own records management programs. Several DoD Components conduct risk assessments and on-site evaluations to ensure compliance in addition to trainings and meetings with key stakeholders. Many Components are planning to improve their oversight and evaluation capabilities through revamped trainings, policies, and processes. Full details of DoD Component efforts are in this report's appendixes.

10. Policy and Guidance to Support Strategic the Direction

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

☑ Yes
☐ No
☐ Do not know

The DoD appreciates NARA's continued support and guidance to aiding the government with the strategic direction for our records management program. Please find below a synthesis of common themes suggested by numerous DoD Components. Additional suggestions for how NARA might provide specific policy or guidance to support the strategic direction of the DoD records management program and other government agencies are provided in the appendixes of this report.

Guidance for Records Management Programs Evaluations and Efficiencies

Many components expressed an interest in NARA guidance for improving their own records management programs. Guidance with best practices for evaluating records maturity and assessing risk to records prove beneficial. In addition, DoD Components are interested in exploring automated solutions for records management, which would benefit from additional NARA guidance.

Guidance for 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, voicemail, records ownership designations, the accessioning and handling of permanent electronic records, t, waivers, and implementation of commercial IT products such as Microsoft 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.

11. Suggestions for NARA to Improve Engagement

Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☑ 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.

Increase SAORM Engagement

The DoD would benefit from greater engagement and program advocacy from NARA with SAORMs outside of reporting periods. This collaboration can be done by expanding the FRON to offer minimal, to-the-point meetings (with virtual and on-site options). DoD SAORMs and the DoD Records Officer community would also benefit from DoD-specific meetings with the Chief Records Officer to engage on DoD-specific compliance issues, progress, and enterprise solutions.

Exploit Federal Records Center Program for agency benefit

Given several staffing and budget constraints, DoD Components would greatly benefit by working with NARA to identify opportunities to exploit FRC's capabilities. These capabilities include FRC's scanning capabilities to assist with the transition to electronic recordkeeping. Reducing the costs incurred from FRCs and streamline the approval process for proposed records disposition records.

Consider Impacted Components and Specialized Topics

When developing guidance, DoD recommends that Components with large scale programs be engaged to ensure funding, IT, and legal constraints are considered. In addition, DoD Components would benefit from workgroups and meetings to discuss records management best practices around specific topics, such as cloud computing, data loss prevention, and records inventories.

APPENDIX A

DEPARTMENT OF THE ARMY
COMPONENT SAORM REPORT

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 (OMB) and NARA issued a memorandum, Transition to Electronic Records (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines. On December 23, 2022, OMB and NARA issued a new memorandum, Update to Transition to Electronic Records (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Select the name of the applicable DoD Component from the dropdown list for the first page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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: Mr. David Markowitz
- Position title: Acting Chief Information Officer
- Address: 107 Army Pentagon, Washington DC 20310-0107

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

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

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

   No additional requirements to the preservation of electronic records were added in the response to the COVID-19 pandemic. Agencies were already implementing guidance from M-19-21 (Transition to Electronic Records).

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

   DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   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. Armywide taskers within the Department of the Army Enterprise Task Management Software Solution (ETMS2) were created to meet all the milestones within M-19-21, which will be updated and extended to meet the new M-23-07 deadline. A validation process includes the Army Records Management Directorate, Training and Assessment Branch conducting on-site and virtual Agency and Command Records Management Assessments.

Army challenges includes budgetary constraints; manpower shortages; lack of trained records officials, and no approved NARA digitization standards for digitizing permanent records.

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

    ☒ Yes
    ☐ No
    ☐ Do not know

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

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    Army challenges include: budgetary constraints; manpower shortages; lack of trained records officials, and no approved NARA digitization standards for digitizing permanent records.

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

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

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

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Army challenges include: budgetary constraints, manpower shortages, and lack of trained records officials.

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

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

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

    ☐ Yes
    ☒ No
    ☐ Do not know

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

    The Enterprise Services Agency, Army Records Management Directorate was recently realigned to the Office of the Chief Information Officer (1 December 2022) and the Chief Information Officer serves as the Senior Agency Official for Records Management. Our goal is to encompass records management initiatives in our strategic planning and include recordkeeping requirements in all acquisition business processes.

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

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

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

    ☐ Yes
    ☒ No

☐ Do not know

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

We have updated policy (Army Regulation 25-400-2) and guidance (Department of the Army Pamphlet 25-403) to address the retention of electronic mail and messages. We are currently working on technical solutions and processes for the storage and management of email and electronic messages.

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

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

☒ Yes
☐ No
☐ Do not know

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

Army is using Microsoft365 and its services package to ensure the identification of records, either temporary or permanent, are being marked appropriately and maintained according to their retention policies. Army is exploring Artificial Intelligence (AI) and advancing technologies to manage data and records.

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

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

☒ Yes
☐ No
☐ Do not know

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

My predecessor was very instrumental in the completion of several policies which include the publication of the new Army Regulation 25-400-2 (Army Records Management Program), Department of the Army Pamphlet 25-403 (Army Guide to Recordkeeping) as well as the revamping of the Records Management Annual Training, IAW NARA Bulletin 2017-01 (Agency Records Management Training Requirements). My goal is to establish reoccurring

meetings with stakeholders like the Chief Data Officer and Army Records Officer, and myself to ensure implementation and compliance of the records management program.

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

☒ Yes
☐ No
☐ Do not know

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

NARA digitization guidance is still pending publication. This guidance is a key aspect to transforming paper records to an electronic format to meet OMB 19-21 mandate of an all-electronic environment.

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☐ Yes
☒ No
☐ Do not know

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

Nothing notable to add.

APPENDIX B

DEPARTMENT OF THE NAVY
COMPONENT SAORM REPORT

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- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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: Ms. Denise M. Szelag
- Position title: DON/Assistant for Administration (Acting)
- 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. **In response to the COVID-19 pandemic, have any of the temporary adaptations to component business processes become permanent improvements to the management and preservation of electronic records?**

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

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

   For the Department of the Navy (DON), the management and preservation of electronic records was ongoing with the transition from Micro Focus Content Manager, to DON TRACKER and subsequent transition to M365. The COVID-19 pandemic had no bearing on the management and preservation of electronic records.

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

   DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   The DON has 3 Components – Secretariat, United States Navy (USN) and United States Marine Corps (USMC). The Secretariat & USN have fully transitioned to manage and maintain permanent records in an electronic format with the implementation of Microsoft 365 (M365). The Secretariat/USN team will continue to focus on legacy electronic record migration, providing support for records managers with access and permissions provisioning, and definition and documentation of supporting processes. There should be no issue in meeting the June 30, 2024 date as long as NARA revises in a timely manner its records management regulations and guidance per OMB 23-07, Section 1.5.

   USMC has completed two phases of its transition to Electronic Records Management (ERM) M365 Proof of Concept. This includes managing records disposition through Microsoft Purview retention labeling polices and Adaptive Scope exchange policies for Capstone officials. Additionally, all USMC component organizations can create electronic content and

declare/maintain record life-cycles within the tenant and SharePoint On-line. The USMC does not believe there will be an issue in meeting the June 30, 2024 date.

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

      ☒ Yes
      ☐ No
      ☐ Do not know

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

The DON has fully transitioned to manage temporary records in an electronic format with the implementation of M365.

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

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

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

The DON does not have an agency-operated records storage facilities. The Secretariat/USN is currently sending all temporary records to a commercial records storage facility prior to June 30, 2024.

The USMC is not currently exploring options for long-term commercial storage of its service-level records. The USMC is pursuing storing all temporary records in SharePoint and SharePoint Online.

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

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

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

☒ Yes
☐ No
☐ Do not know

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

The Department of the Navy Chief Information Officer (DON CIO) provides the following DON policies, which enhance Information Governance (IG) and Records Management's (RM) role and relationship to it: SECNAVINST 5430.7S, enclosure (2), paragraph 5f(4)(c) formally connects the CIO and Chief Data Officer (CDO) in the development and enforcement of RM policies and processes and standards. SECNAVINST 5211.5F, provides the DON Privacy policy in connection with records management. SECNAVINST 6720.42G, provides for the DON Freedom of Information Act policy to include records management.   SECNAVINST 5210.8F describes various aspects of records management including roles and responsibilities.

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

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

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

☐ Yes
☒ No
☐ Do not know

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

Yes for emails as the DON has policies, procedures and the infrastructure in place to manage email only. Not completely for other electronic messaging. DoD has issued a policy memorandum, "Increasing DoD Accountability for Records and Controlled Unclassified Information Electronic Messages" dated October 28, 2022. However there is no electronic solution to capture the data. The DON is collaborating both internally and with DoD CIO to come up with a technical solution for the capture of all forms of electronic messaging. At present, it is a manual process to capture and preserve text messages, MS Teams chat,

voicemail and social media posts from government furnished equipment therefore they are not being captured. Resourcing and development is required in order to execute as directed. Actions taken by vendors to address personal privacy laws have reduced the DON's ability to use existing resources and effectively collect SMS/imaging. Solutions are being evaluated, but are currently unfunded.

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

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

☒ Yes
☐ No
☐ Do not know

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

The DON is currently working with Microsoft in pursuit of Artificial Intelligence capabilities, Microsoft Power Apps and Power BI Apps that can automate retention and identify specified record types. In addition to Microsoft capabilities the DON is exploring the Active Navigation (ActiveNav) tool to manage data and data migrations within cloud platforms.

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

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

☒ Yes
☐ No
☐ Do not know

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

The Secretary of the Navy sets the strategic direction for all the DON RM programs, Department of the Navy, Assistant for Administration (DON/AA), the SAORM for the DON, works collaboratively with DON CIO, USN, and USMC to ensure these goals are incorporated into the DON's strategic Information Resource Management Plan. The DON RM programs, advocate for funding that will ensure policy is updated and compliant. DON RM programs support the Naval Inspector General ensuring the DON is properly managing permanent and email records electronically.

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

☒ Yes
☐ No
☐ Do not know

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

The DON requires the updated clear standards for fully electronic recordkeeping as outlined in Section 1.5 of M-23-07. It would benefit all federal agencies if NARA published guidance or their strategic direction for their plans to accept electronic records using a cloud service and what that will be. This would help drive the procurement, maintenance and agency specific procedures to transfer records in cloud environments.

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☒ Yes
☐ No
☐ Do not know

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

The DON appreciates the relationship with NARA and the ability to review and provide comments to the recent inspection. To ensure that all three Components of the DON are complying with NARA guidance, it would be helpful to ensure that a representative from the SAORM office participate in all NARA discussions.

APPENDIX C

DEPARTMENT OF THE AIR FORCE
COMPONENT SAORM REPORT

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 (OMB) and NARA issued a memorandum, Transition to Electronic Records (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines. On December 23, 2022, OMB and NARA issued a new memorandum, Update to Transition to Electronic Records (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Select the name of the applicable DoD Component from the dropdown list for the first page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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: Mr. James "Aaron" Bishop
- Position title: Chief Information Security Officer (CISO) for the Department of the Air Force
  Address: SAF/CNZ, 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. **In response to the COVID-19 pandemic, have any of the temporary adaptations to component business processes become permanent improvements to the management and preservation of electronic records?**

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

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

   While DoD provided Commercial Virtual Remote (CVR) with access to Microsoft Teams and collaboration aids for DoD components, including the Department of the Air Force (DAF), during the March 2020 pivot to telework, the DAF resumed usage of its Microsoft 365 E3 tenant with enhanced capabilities after DoD sunsetted CVR in 2021.

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

   DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   The Department of the Air Force (DAF) initiated a pilot program to test Microsoft 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 third quarter of fiscal year 2023. The DAF Chief Information Officer collaborates with other organizations to develop the records management and privacy framework for business processes in M365.

   Also, 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.

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

     ☒ Yes
     ☐ No
     ☐ Do not know

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

Unless mandated by law, statute, or regulation, most DAF records are generated and maintained in electronic format. The DAF initiated a test pilot program based on Microsoft 365 (with limited records management capabilities under the E3 enterprise license) 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 electronic records management (ERM).

DAF records that cannot be managed and preserved electronically due to law, statute, or regulation are candidates on a DAF OMB Memorandum M-19-21 exception request package.

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

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

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

No current DAF analog records facility is known to store more than 25,000 cubic feet of records, hence, the DAF does not have an agency-operated records storage facility required for closure by OMB Memorandum M-19-21 per NARA Bulletin 2020-01.

However, it is important for the DAF to shift to electronic records and motivate activities in that direction. Currently, about 30% of Air and Space Force Base records staging facilities have been closed. The field is working meet the deadline of closing 100% of base staging facilities by 30 June 2024, which are impacted by funding and manpower challenges.

OMB Memorandum M-19-21 directed Federal Agencies to move to digital records by the original deadline of 31 Dec 2022 (now extended to 30 Jun 2024 by OMB Memorandum M-23-07). The DAF nevertheless wants to meet the intent of OMB Memorandum M-19-21 by disincentivizing DAF functionals and units in continuing to generate hardcopy records by closing base staging areas and allowing DAF bases and organizations to offer their way-ahead to close their records staging areas.

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

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

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

☒ Yes
☐ No
☐ Do not know

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

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 stipulated 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).

DoD Instruction 5200.48_Department of the Air Force Instruction 16-1403, *Controlled Unclassified Information (CUI)*, discusses the relationship of records management with CUI implementation in the DAF.

References:
AFI 33-332 - 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
DoDI 5200.48_DAFI 16-1403 - https://static.e-publishing.af.mil/production/1/saf_aa/publication/dodi5200.48_dafi16-1403/dodi5200.48_dafi16-1403.pdf

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

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

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

☒ Yes
☐ No
☐ Do not know

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

As outlined in Air Force Instruction 33-322, section 3.4.12. Text messages on government owned/issued devices that conduct government business are records per the Federal Records Act of 1950 and Presidential and Federal Records Act Amendments of 2014. All business-related text messages must be filed in the appropriate electronic records keeping system. The commander ensures the transfer of records to the electronic records keeping system is accomplished within 48 hours.

A challenge is the guidance in AFI 33-322 refers to the use of screen shots to capture text messages. To our knowledge, the screen shot function has been disabled on DAF-issued

mobile devices, hence, the DAF has requested users not to delete official Department of Air Force communications while a technical solution is being sought for implementation.

DAF strategic direction is the following: immediately stop the deletion or destruction of any official communications on all government procured mobile devices, also known as Government Furnished Equipment (GFE) mobile devices; not delete any text messages or message attachments on the devices; not reset, wipe, or reissue devices until all messaging data has been secured; and restrict electronic messages to approved mobile applications only. DoD is working to provide long-term, automated solutions for the storage and archiving of official records created on government provisioned devices.

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

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

☐ Yes
☒ No
☐ Do not know

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

The DAF Records Office is aware of cognitive technologies. However, the current focus is on leveraging records management features within the DAF's Microsoft 365 E3 enterprise license (known internally as DAF365).

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

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

☒ Yes
☐ No
☐ Do not know

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

As stipulated in AFI 33-322, *Records management and Information Governance Program*, paragraph 2.2.2., the Senior Agency Official (SAF/CNZ) for Records Management, appointed by the DAF Chief Information Officer, is responsible for ensuring the Department of the Air Force efficiently and properly complies with all applicable records management statutes, regulations, and policies.

The DAF SAORM receives status from the DAF CIO's Compliance Division, which hosts the DAF Records Office (DAFRO).

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

☒ Yes
☐ No
☐ Do not know

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

As of this writing, NARA has not released its digitalization standards for scanning permanent records. Clear NARA standards and guidance would contribute with facilitating digitization efforts across the DAF enterprise to be in compliance with the OMB Memorandum M-19-21 mandate.

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☒ Yes
☐ No
☐ Do not know

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

Given DAF funding and manning, NARA can help the Department of the Air Force reduce 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 limited time and multiple responsibilities, the DAF recommends NARA offer minimal, to-the-point meetings (with virtual and/or 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 may be helpful with use cases and examples of effective SAORM advocacy. NARA can also consider providing metrics on activities for services rendered to the DAF.

APPENDIX D

CHAIRMAN OF THE JOINT CHIEFS OF STAFF
COMPONENT SAORM REPORT

APPENDIX D-1

CHAIRMAN OF THE JOINT CHIEFS OF 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 (OMB) and NARA issued a memorandum, Transition to Electronic Records (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines. On December 23, 2022, OMB and NARA issued a new memorandum, Update to Transition to Electronic Records (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Select the name of the applicable DoD Component from the dropdown list for the first page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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: Ms.   Catherine   R.   Zakary
- Position title: Director   of   Management
- Address: 9000   Defense   Pentagon
                                 Washington, DC 20318-9000

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

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

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

   The Joint Staff, and DoD at-large, now use a suite of collaborative tools including Microsoft Teams on a daily basis that had not been used at all prior to the pandemic. This has become a new environment where records are stored. Like any other electronic environment, the JS is working to develop policies and guidance that allow for the proper preservation of records on this new system.

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

   DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   The Joint Staff has made progress in this area and is on track to meet the 2024 deadline. In 2022, the JS accessioned 685 cu ft of permanent records to NARA. We have approximately 1700 cu ft. of permanent records remaining that will go to the WNRC.

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

   ☒ Yes
   ☐ No

☐ Do not know

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

The Joint Staff is in the configuration phase of its RM application, Alfresco. Alfresco, once deployed, will allow JS users to upload both temporary and permanent records in a system where retention policies are implemented at the folder and file level. Temporary records can disposition according to the JS records schedule and not have to rely on a manual process.

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

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

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

The Joint Staff does not use any agency-operated or commercial storage facilities.

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

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

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

    ☐ Yes
    ☒ No
    ☐ Do not know

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

The Joint Staff is currently drafting an Information Strategy document that is aligned with several higher DOD-level strategy documents, such as the DOD Data Strategy and the forthcoming DOD Record Management Strategy. Once the RM Strategy is published, the JS document will follow. This framework describes and outlines the relationships between

data, records, and IT management. The JS has also recently established its Chief Data Officer function which is beginning to collaborate with the Records Management Office. The Information Management Division Chief serves as the Directorate of Management's Data Steward and participates in the Joint Staff Data Working Group.

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

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

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

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   The JS has issued policy to all employees regarding retention of mobile records, and provided mandatory training. Following the direction of the DoD/CIO, the Joint Staff is working with its mobile device provider, DISA/JSP, to ensure that records are not destroyed when Government devices are turned in. In addition, JS is working with DISA/JSP to utilize a tool that will capture text messages, files, and other records from mobile devices and make it available for further disposition/preservation. JS already uses the CAPSTONE approach to ensure that GO/FO and SES email is permanently preserved. Throughout 2023, JS anticipates the IT service provider will strengthen policies and tools for capturing and preserving this information.

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

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

   ☐ Yes
   ☒ No
   ☐ Do not know

   Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

While these technologies are currently under exploration at the DoD/CIO level, the Joint Staff has not engaged in the usage of AI or other cognitive technology for Records Management purposes.

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

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

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   The JS SAORM is regularly involved in RM initiatives across the Joint Community, including the JS oversight of the 11 Combatant Command Records Management programs. Weekly updates occur with the JS RM Team and an in-depth meeting is held on a quarterly basis. The JS RM program, located within the Directorate of Management (DOM), is included in the annual DOM Strategic Management Plan, which contains key RM goals that support the JS and Chairman of the Joint Chiefs of Staff.

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

    ☒ Yes
    ☐ No
    ☐ Do not know

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

    It would be helpful to see new guidance on the handling and accessioning of Permanent electronic classified records to NARA, specifically in regards to Electronic Records Archives. More specified guidance on NARA's expectations when it comes to the culling of CAPSTONE email would also be helpful.

11. **Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?**

    ☐ Yes
    ☒ No
    ☐ Do not know

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

APPENDIX D-2

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 (OMB) and NARA issued a memorandum, Transition to Electronic Records (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines. On December 23, 2022, OMB and NARA issued a new memorandum, Update to Transition to Electronic Records (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Select the name of the applicable DoD Component from the dropdown list for the first page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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 NDU Agency Records Officer: Tonya Barbee
- Position title: Risk Management and Internal Controls Project Manager/Agency Records Officer
- Address: National Defense University 300 5th Ave SW Washington 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. **In response to the COVID-19 pandemic, have any of the temporary adaptations to component business processes become permanent improvements to the management and preservation of electronic records?**

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

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

   The ITD Directorate is in the process of gathering requirements from the Records Management officer and has made Record Management a priority within organization and plan to complete this project on or before 1 SEP 2023.

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

   DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

   ☐ Yes
   ☒ No
   ☐ Do not know

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

   Most of our permanent records have been safeguarded using SharePoint. It is ITD's goal to include metadata by June 2023.

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

   ☒ Yes
   ☐ No
   ☐ Do not know

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

Temporary records have been managed electronically. The challenge has been conflicting priorities and bandwidth for 95% of NDU Records Custodians because records management is an additional duty.

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

   ☐ Yes
   ☐ No
   ☒ Not applicable, NDU records are stored NDU M365 Cloud
   ☐ Do not know

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

   NDU moved to the M365 cloud in July 2020 and in January 2021, we moved all on premise records to the cloud. What remains is to provide an organized construct for the records that were shifted to the cloud.

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

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

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

   ☐ Yes
   ☒ No
   ☐ Do not know

   Please explain your response and provide details about how your agency's policies enhance IG and RM's role or relationship to it. Outside of disseminating the annual

   Records Management Self-Assessment and Federal Electronic Records & Email Management Maturity Model Report, we have not been able to incorporate RM into IG framework for information. We successfully briefed 98% of our NDU-organizations on RM which is a start. RMD and the Information Technology Directorate will partner to establish a forward plan for this integration.

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

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

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

☐ Yes
☒ No
☐ Do not know

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

The Agency Records Officer informs staff/leadership/faculty, during Records Management/Privacy organizational briefing, the importance of electronic messaging systems. Plans are in place to prepare written guidance. Once TJS has completed its plan, NDU will use it as the overarching framework for its own plan.

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

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

☒ Yes
☐ No
☐ Do not know

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

As of Feb 2023, we have plans to use SharePoint as our Records Repository in the interim until a compliant records management system has been acquired.

9. **Do you as SAORM regularly oversee and evaluate the effectiveness of your records management program and its compliance with statutes and regulations?**
DoD Note: Please respond for your DoD Component. DoD SAORM will provide input at the DoD level.

☒ Yes
☐ No
☐ Do not know

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

We meet monthly with the Records Custodians. We review to ensure inventory and file plans are current. We continue to update appointment memos as required. We provide annual training. We work closely with the Joint Staff Records Management Team (primarily Ms. Capers and Mr. Kaufman). Whenever possible, we meet with the IT Directorate to go over plans to use Share Point as a repository in the interim. We plan to update our RM Instruction and incorporate the Capstone Email. We continue to work with TJS to ensure all records are scheduled. (Waiting TJS to approve our Research Records.)

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

☒ Yes
☐ No
☐ Do not know

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

Need guidance on Capstone policy, text messaging policy, email records management policy, and Using Share point as a Records Management repository.

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☒ Yes
☐ No
☐ Do not know

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

The National Defense University Board of Visitors was re-established in 2022. Their existence drives a Federal Advisory Committee Act (FACA) requirement to attend WHS RM and similar training. We have been able to attend only limited training. It would be great if NDU could be offered more training (at all levels on subjects such as how to prepare file plans to how to write an RM Instruction) at the Joint Staff level.

APPENDIX D-3

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 (OMB) and NARA issued a memorandum, Transition to Electronic Records (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines. On December 23, 2022, OMB and NARA issued a new memorandum, Update to Transition to Electronic Records (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Select the name of the applicable DoD Component from the dropdown list for the first page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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: 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. **In response to the COVID-19 pandemic, have any of the temporary adaptations to component business processes become permanent improvements to the management and preservation of electronic records?**

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

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

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

   DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   Yes, in conjunction with J6 and KM, we are in the process of reviewing how the component will transfer records in electronic format in accordance with NARA regulations and transfer guidance.

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

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   In conjunction with J6 and Knowledge Management division, USAFRICOM is reviewing policies on how the component will preserve records in electronic format by the established date.

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

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

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

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

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

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

    ☐ Yes
    ☒ No
    ☐ Do not know

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

The CRM has not had the opportunity to address this with any internal stakeholders. CRM will pursue this in the coming months.

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

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

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

☐ Yes
☒ No
☐ Do not know

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

USAFRICOM is currently reviewing policies on a method to capture and preserve electronic messages by the established date.

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

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

☐ Yes
☐ No
☒ Do not know

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

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

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

☒ Yes
☐ No
☐ Do not know

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

The CRM reviews the components Record Management program on an annual basis to determine if the component remains compliant.

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

☐ Yes
☒ No
☐ Do not know

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

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☐ Yes
☒ No
☐ Do not know

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

The JS DOM does an excellent job of providing information.

APPENDIX D-4

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 (OMB) and NARA issued a memorandum, Transition to Electronic Records (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines. On December 23, 2022, OMB and NARA issued a new memorandum, Update to Transition to Electronic Records (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Select the name of the applicable DoD Component from the dropdown list for the first page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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: 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. **In response to the COVID-19 pandemic, have any of the temporary adaptations to component business processes become permanent improvements to the management and preservation of electronic records?**

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

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

   COVID-19 pandemic has impacted the Records Management (RM) team's ability to conduct routine on-site RM support and assessments to the one Joint Task Force, five subordinate Commands, and 18 Office of Military Cooperation/Security Cooperation Organizations (OMC/SCO).

   However, the RM team has conducted on-site support and assessments to all HQ Directorates and Special Staff offices.

   The pandemics impact on the Joint Task Force and subordinate Commands ability to provide organized quarterly collections back to HQ USCENTCOM has decreased. During CY22, we received two War Records collections from the JTF, several collections from the Subordinate Commands, and SCO/OMCs.

   The RM team continues to adopt and utilize virtual training (Microsoft Teams, Defense Collaboration Services, and Virtual Teleconference Center) to ensure compliance. However, we predict that by the end of CY23, we will have conducted physical on-site assessments to every office throughout the Command.

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

   DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

   ☒ Yes
   ☐ No
   ☐ Do not know

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

The USCENTCOM RM team has implemented several plans to ensure all permanent records are being managed electronically and with the appropriate metadata NLT 30 June 2024. This includes but is not limited to conducting annual USCENTCOM ALL (HQ and all subordinate units) Physical Records Call. During this records call, any office creating any physical records are afforded the opportunity to digitize their physical records. The USCENTCOM RM team has set aside dedicated scanners in the CENTCOM Records Interim Storage Facility (CRISF), ensuring their availability for HQ staff use.

Furthermore, annual RM assessments are be conducted to identify, categorize, and digitize physical records found, allowing them to be cataloged into the Command's ERMA. Likewise, when assessments are conducted in the AOR, they undergo a similar process, however the records captured in the AOR are retrograded back to HQ USCENTCOM on a reoccurring basis (quarterly, semi-annual, and annually) and then cataloged into the Command's ERMA.

The RM team continues to support the Command to identify any potential official records requiring to be maintained in physical format.

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) Title/Subject

(2) Office symbol (owner of the record).

(3) Creator (office who owns the information).

(4) Date created (Windows metadata is acceptable).

(5) Date modified (Windows metadata is acceptable).

(6) Classification and caveats (make every effort to ensure records are classified properly).

(7) 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 physical records at HQ USCENTCOM have been digitized and processed into the Command's ERMA. Furthermore, local assessments are performed in order to identify, categorize, and digitize physical records found, and then cataloged into the Command's ERMA. Likewise, assessments conducted in the AOR undergo a similar process,

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

☒ Yes
☐ No

☐ Do not know

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

The USCENTCOM RM team has implemented several plans to ensure all temporary records are being managed electronically and with the appropriate metadata NLT 30 June 2024. This includes but is not limited to conducting annual USCENTCOM ALL (HQ and all subordinate units) Physical Records Call. During this records call, any office creating any physical records are afforded the opportunity to digitize their physical records. The USCENTCOM RM team has set aside dedicated scanners in the CENTCOM Records Interim Storage Facility (CRISF), ensuring their availability for HQ staff use.

Furthermore, annual RM assessments are be conducted to identify, categorize, and digitize physical records found, allowing them to be cataloged into the Command's ERMA. Likewise, when assessments are conducted in the AOR, they undergo a similar process, however the records captured in the AOR are retrograded back to HQ USCENTCOM on a reoccurring basis (quarterly, semi-annual, and annually) and then cataloged into the Command's ERMA.

The RM team continues to support the Command to identify any potential official records requiring to be maintained in physical format.

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

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

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

   USCENTCOM does not have an agency-operated records center

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

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

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

☒ Yes
☐ No
☐ Do not know

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

The USCENTCOM Records Management (RM) branch is uniquely positioned within the Command under the Command and Control, Communications, and Computers Systems Directorate (CCJ6), affording the RM branch the ability to support every office of record with the management of electronic records. This position ensures the RM branch 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 branch works closely with the CDO, Data Management, Knowledge Management, Information Security, Privacy, and Freedom of Information Act (FOIA) offices to establish governance for the management of data and records throughout the Command.

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

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

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

☒ Yes
☐ No
☐ Do not know

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

Pursuant to NARA and DoD mandates/regulations, USCENTCOM has revised the policies and procedures to ensure for the capture and preservation of all electronic messages. This includes but not limited to updating all RM training (Annual, monthly, weekly Indoctrination, and desk-side) to include text messages updating mobile user agreements, adding verbiage to the Commands in-processing/out-processing checklists, and working with phone carriers to capture and provide all texts that qualify as records under the Federal Records Act.

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

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

☒ Yes
☐ No
☐ Do not know

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

The Command utilizes Micro Focus ControlPoint today. We create searches to discover types of records and automate the processing of responsive records to search into Micro Focus Content Manager. The Command is seeking a solution that utilizes Artificial Intelligence (AI) and Machine Learning (ML) to greatly improve accuracy in identifying record types and automate the processing of records into the Electronic Records Management Application (ERMA).

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

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

☒ Yes
☐ No
☐ Do not know

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

Under the purview and direction of the CCJ6 Resources and Analysis Division (CCJ6-R), the Command Records Manager (CRM), in conjunction with the Senior Records Analysts from Command Records Management Branch (CCJ6-RD), ensures RM procedures are carried out according to Federal statutes and regulations. With CCJ6-RD oversight, the CRM has authority for all facets of managing the USCENTCOM RM program and will:

    a. Meet regularly with the SAORM (CCJ6 Director/CIO or designated representative) to discuss the Command's RM program goals.

    b. Oversee management of all records within the Command, ensuring compliance with applicable regulations.

    c. Develop and issue policy and procedures that govern protecting, arranging, maintaining, and use of records.

    d. Establish electronic records management (ERM) programs to promote and manage electronic records.

e. Issue USCENTCOM records holds in order to enforce and comply with all Department of Justice or Department of Defense (DoD) Office of General Counsel records holds.

f. Ensure all personnel who create, maintain, provide access to, and dispose of records are properly trained.

g. Advise HQ USCENTCOM senior leaders of their RM responsibilities within the first 30 days of assumption of duties. Provide out-briefings to senior leaders to ensure capture of the records generated during their tenure. Ensure leaders at each level of management are informed of their legal responsibility in establishing and overseeing their RM program within their D/SS, SCO, or JTF.

h. Instruct personnel on their legal responsibility to inform the CRM of any actual or potential unlawful removal, change, or destruction of USCENTCOM records, and inform personnel to attempt to recover or reconstruct the records.

i. In coordination with the Joint Staff (JS) and NARA, apply records standards, establish rules and techniques to improve USCENTCOM's management of electronic and paper records, and improve how USCENTCOM maintains and preserves records with a retention period of three years and greater.

j. Ensure Staff Assistance Visits (SAV) are conducted across the Command and subordinate organizations (e.g., SCOs and JTFs). Periodically conduct site visits to SCCs in support of unity of efforts between USCENTCOM and the SCCs.

k. The CRM and Senior Records Analysts will conduct SAVs within the HQ annually and biennially within the SCOs. JTFs will be visited during each rotation. These visits are designed to teach, train, and when possible, fix any issues encountered within the program. Respective RM program issues should be submitted to the CRM on a continual basis instead of waiting to be addressed during the SAV. Each SAV team will use the appropriate SAV checklist to evaluate the RM program.

(1) The SAV program for the HQ will use five criteria:

(a) Records Management Training.

(b) Identify, Map, and Manage.

(c) Electronic Records Management (i.e., use of CM).

(d) (d)Classified Files Management.

(e) End of Cycle Actions.

(2) The SCOs and JTFs will be measured against six criteria:

(a) Records Management Training.

(b) Identify Records.

(c) Develop File Plan.

(d) Build File Folders.

(e) Classified Files Management.

(f) End of Cycle Actions.

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

☒ Yes
☐ No
☐ Do not know

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

NARA can provide a more strategic plan for the use of AI/ML to assist all agencies in managing official records and data.

Additionally, NARA should lead an all-federal agency-wide effort to establish a more efficient and collaborative way to manage and preserve Capstone Officials/Senior Leader e-mails.

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☒ Yes
☐ No
☐ Do not know

Please explain your response and include any comments on previous 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 Capstone Officials/Senior Leader e-mails. The current process with DISA does not allow USCENTCOM to immediately capture and preserve e-mails into the Command's ERMA, nor will it allow the Command to conduct searches for official requests (e.g., FOIA, litigations, etc.) in a timely and efficient manner.

APPENDIX D-5

UNITED STATES CYBER 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 (OMB) and NARA issued a memorandum, Transition to Electronic Records (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines. On December 23, 2022, OMB and NARA issued a new memorandum, Update to Transition to Electronic Records (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Select the name of the applicable DoD Component from the dropdown list for the first page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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 CRM: Ms. Christine Betts
- Position title: Command Records Manager
- Address: Ft. Meade

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

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

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

   Due to the nature of our mission, our business practices for RM never changed.

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

   DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   USCYBERCOM has purchased a records management application to meet the goals referenced above while automating the process.

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

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   USCYBERCOM has purchased a records management application to meet the goals referenced above while automating the process.

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

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

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

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

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

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

    ☒ Yes
    ☐ No
    ☐ Do not know

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

We have records management instruction, as well as, developed, and developing manuals for electronic records management, essential records management, email management, and litigation discovery.

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

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

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

☒ Yes
☐ No
☐ Do not know

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

We have policies in place, and additional ones being written, as well as agreements with NSA on the subjects in section 7.

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

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

☐ Yes
☒ No
☐ Do not know

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

We do not have anything that we are actively using at this time.

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

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

☒ Yes
☐ No
☐ Do not know

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

Not only do we utilize the NARA checklist in the CCRM office, we also conduct SAVs throughout our directorates to measure compliance and risk factors.

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

⊠ Yes
☐ No
☐ Do not know

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

Additional outreach, collaboration, lessons learned, best business practices from other DoD entities. Push GSA approved listing of software, AI, vendors, etc.

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☐ Yes
☐ No
⊠ Do not know

Please explain your response and include any comments on previousengagements, topics for future engagements, or other suggestions.

Newly assigned CCRM to USCYBERCOM, unable to comment at this time.

APPENDIX D-6

UNITED STATES 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 (OMB) and NARA issued a memorandum, Transition to Electronic Records (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines. On December 23, 2022, OMB and NARA issued a new memorandum, Update to Transition to Electronic Records (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Select the name of the applicable DoD Component from the dropdown list for the first page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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 CRM: Alicia   Singerman
- Position title: USEUCOM Command Records Manager
- Address: Patch Barracks, Building 2014, 70569 Stuttgart, 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. **In response to the COVID-19 pandemic, have any of the temporary adaptations to component business processes become permanent improvements to the management and preservation of electronic records?**

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

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

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

   DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   The Command Records Manager (CRM) is currently in the process of scanning paper records and capturing electronic permanent records from the NIPR/SIPR shared drives, NIPR/SIPR SharePoint, and Task Management Tool (TMT). Records will be evaluated and declassified before transferring them to NARA.

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

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   File custodians manage and preserve records in USEUCOM's NIPR/SIPR shared drives that have restricted access in accordance with their approved file plans. USEUCOM's NIPR/SIPR USEUCOM repositories are now complete and file custodians are relocating

permanent records into them. The Special Security Office (SSO), which is part of the Intelligence Directorate, is the only office that maintains paper records. In coordination with the CRM, beginning in calendar year (CY) 2023, the directorate's records officer scan paper records for inbound personnel. Paper records for prior years will not be scanned and will instead wait for destruction.

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

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

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

   USEUCOM CRM may meet the deadline to scan paper records into portable document format (pdf) but will not be able to declassify some records for transfer to NARA as this process takes one to two years. Once all paper records are scanned, the inactive storage facility in the CRM's spaces will be closed. Inactive records will be disposed of according to their disposition schedules. Permanent records will be sent to NARA after they are scanned.

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

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

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

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   USEUCOM Instruction (ECI) 5760.01, Records Management, was approved on 22 August 2022 and incorporates local records management guidance and requirements. The document is USEUCOM's overarching governance for its Records Management Program. It

has 11 enclosures and covers duties and responsibilities; permanent records; crisis and contingency operation records; file coding and use of SharePoint collaboration sites; capture of permanent records from TMT; procedures for essential records, training, unauthorized disposition/destruction of federal records; staff assistance visits; and managing records for departing or deceased employees. USEUCOM does not have an information governance framework that integrates data and other agency information management resources. The RMO maintains close relationship with the FOIA Office, SSO, and records personnel.

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

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

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

   ☐ Yes
   ☒ No
   ☐ Do not know

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

   - The CRM and ECJ6 are collaborating to establish a method to capture text messages. The wiping of mobile devices has currently been put on hold until ECJ6 and the CRM find a solution to capture text messages.

   - At this time, email messages will remain with DISA.

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

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

   ☐ Yes
   ☒ No
   ☐ Do not know

   At this time, USEUCOM is not exploring cognitive technologies to identify records and distinguish between temporary and permanent retention.

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

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

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

☒ Yes
☐ No
☐ Do not know

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

The CRM closely monitors and records management requirements in the Records Management SharePoint site which is accessible to all users. Records Officers are performing staff assistance visits (SAVs) to monitor progress and program status. The CRM will conduct SAVs in CY 2023 to help monitor overall progress and compliance. In FY22, the USEUCOM Chief of Staff directed the Inspector General to conduct records management inspections to evaluate the program and assess compliance.

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

☒ Yes
☐ No
☐ Do not know

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

Since USEUCOM is OCONUS (in Germany), it is challenging to find a system to manage text messages. Foreign internet providers cannot access the US network and therefore cannot provide the same type of service as a US internet provider. Therefore, some of the NARA, DoD, and Joint Staff records management requirements are challenging to comply with. USEUCOM currently lacks the ability to access a US network. (Reference DoD Memo, Training and Records Scheduling to Improve DoD Records Management and CUI Handling, dated 28 October 2022). For these reasons, we may not meet the September 2023 requirement for the upcoming revisions to NARA regulations on records disposition programs. Request an extension and additional guidance when using foreign providers.

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☐ Yes
☒ No
☐ Do not know

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

APPENDIX D-7

UNITED STATES 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 (OMB) and NARA issued a memorandum, Transition to Electronic Records (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines. On December 23, 2022, OMB and NARA issued a new memorandum, Update to Transition to Electronic Records (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Select the name of the applicable DoD Component from the dropdown list for the first page and the footer.
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- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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: Maurice Brown
- Position title: Command Records Manager
- Address: HQs, USINDOPACOM

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

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

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

   Implementing a Records Management tool (AVEPOINT) on SIPR. Awaiting for Command Record Manager coming on board.

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

   DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   Implementing a Records Management tool (AVEPOINT) on SIPR. Utilizing O365 on NIPR per DISA policy.

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

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   Implementing a Records Management tool (AVEPOINT) on SIPR. Utilizing O365 on NIPR per DISA policy.

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

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

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

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

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

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

    ☒ Yes
    ☐ No
    ☐ Do not know

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

Policies and guidance exist covering electronic records in general, but those specifically covering permanent electronic records addressing some of the bullet points above are under development.

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

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

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

☒ Yes
☐ No
☐ Do not know

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

Policies exist covering electronic records in general, but those specifically covering permanent electronic records addressing some of the bullet points above are under development.

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

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

☐ Yes
☒ No
☐ Do not know

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

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

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

☒ Yes
☐ No
☐ Do not know

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

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

☐ Yes
☒ No
☐ Do not know

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

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☐ Yes
☒ No
☐ Do not know

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

APPENDIX D-8

UNITED STATES NORTHERN 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 (OMB) and NARA issued a memorandum, Transition to Electronic Records (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines. On December 23, 2022, OMB and NARA issued a new memorandum, Update to Transition to Electronic Records (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Select the name of the applicable DoD Component from the dropdown list for the first page and the footer.
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- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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 CRM: Sandra M. McAfee-Symons, DAFC
- Position title: Command Records Manager
- Address: 250 Vandenberg Street, Suite B016
- 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. **In response to the COVID-19 pandemic, have any of the temporary adaptations to component business processes become permanent improvements to the management and preservation of electronic records?**

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

   No permanent improvements noted.

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

   DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

   ☒ Yes
   ☐ No
   ☐ Do not know

   All permanent records are managed with appropriate metadata and meet NARA's transfer guidance. Agency does not have any records eligible for transfer to NARA until 2027. Periodic review of NARA format tables ensure format standards remain applicable.

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

   ☒ Yes
   ☐ No
   ☐ Do not know

   Exception is short-term (6 months) record disposition. Scanning temporary hard-copy records is encouraged but not required per agency policy due to its temporary value (ex: SF701/702).

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

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

Not applicable as records storage facility is not used.

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

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

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

☒ Yes
☐ No
☐ Do not know

Records management has been incorporated into various Information Governance instructions such as DoD365-J (cloud), Collaboration, Shared Drives, Social Media, Portal, Electronic Content Management, Electronic Data Storage, and Staff Correspondence. Procedures are in place with Staff Judge Advocate, FOIA officer, Privacy Officer, etc. to ensure proper RM coordination.

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

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

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

☒ Yes
☐ No
☐ Do not know

Although GRS 6.1 is being applied for unclassified (NIPR) email capture by DoD365-J tenant provider, classified email capture relies on member to capture official records. DoD365 SEC migration on SIPR is projected for some time in 2024, HOWEVER, no enterprise solution is being addressed for message content residing in JWICS across all DoD. Additionally, USNORTHCOM does not own the mobile phone systems nor local phone services, and does not have the authority to enforce another owning agency (i.e. USAF) to do so. DoD policy is also different from other Federal agencies, and thus, when DoD personnel work at other Federal agencies, it is not possible to enforce DoD policies.

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

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

   ☐ Yes
   ☒ No
   ☐ Do not know

   AI and ML is not provided to USNORTHCOM, nor is any software being funded to provide this capability for records management for USNORTHTCOM owned systems. DISA and DoD365-J should include this capability if required for all DoD.

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

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

   ☒ Yes
   ☐ No
   ☐ Do not know

   Results of reports are used to assess effectiveness of records management program and to address any gaps for USNORTHCOM. JS evaluation of USNORTHCOM has never been provided.

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

    ☒ Yes
    ☐ No
    ☐ Do not know

    NARA should publish policy to address different Federal government agencies responsibility to provide capture and management of records for personnel of a different federal agency

utilizing their technology systems. For example, DoD personnel that work at US Embassies and utilize Department of State (DoS) services. No policy currently exists to ensure DoS provides records to DoD when requested, designate senior leaders as Capstone users, eDiscovery searches, records disposition, etc.

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

    ☒ Yes
    ☐ No
    ☐ Do not know

Create a Joint Staff RM collaboration platform (e.g. SharePoint, Teams channel, etc.) where COCOMs can submit areas of concern to be addressed that impact the majority of sites. (The old Intelink site is woefully outdated) USNORTHCOM has asked repeatedly for litigation hold status, GRS crosswalks, and SAORM input to address RM concerns faced by personnel assigned outside of DoD at Federal agency overseas.

APPENDIX D-9

UNITED STATES SOUTHERN 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 (OMB) and NARA issued a memorandum, Transition to Electronic Records (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines. On December 23, 2022, OMB and NARA issued a new memorandum, Update to Transition to Electronic Records (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Select the name of the applicable DoD Component from the dropdown list for the first page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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: Ms. Ayanna Cambridge-Brown
- Position title: Command Records & Information Management Officer
- Address: 9301 NW 33rd, Street, Doral FL 33172

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

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

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

   Still under assessment. The United States Southern Command (USSOUTHCOM) Records Management Program is recovering from a multi-year period of intermittent coverage that lasted until my arrival at the Command in the Fall of 2020. As we work to reestablish the program and adjacent connections, we aim to uncover information about any processes that were implemented (or terminated) in response to the pandemic; assess the relative merits of these changes; and determine their level of durability. To date, we have not uncovered any such processes, but we anticipate significant added fidelity in this area by next report.

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

   DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   USSOUTHCOM has taken action to meet the goal to manage, preserve, and transfer all permanent records in electronic format with app appropriate metadata by June 30, 2024. (M-19-21, 1.2 and M-23-07, 1.1 and 1.2). The USSOUTHCOM CRM has established a records management repository to manage, preserve, and transfer all permanent records in an electronic format with the appropriate metadata to NARA.

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

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   USSOUTHCOM has taken action to begin managing and preserving all temporary records in electronic format by 30 June 2024. In 2022, the CRM volunteered USSOUTHCOM to participate in the Defense Information Systems Agency (DISA) Electronic Records Management (ERM) solution, designed in close coordination with the Defense Records Management community. Upon deployment, the ERM solution will provide USSOUTHCOM and other participants the ability to capture and manage electronic records stored in the DoD365-J tenant, in accordance with all relevant federal laws and statutes, and Department of Defense policies.

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

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

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

   USSOUTHCOM does not have its own agency operated storage facilities, however, the Command has established an effective process by which to locate, prepare, and ship records to the Federal Record Center in Suitland, MD. Given ongoing programmatic development and the related periodic discovery of extremely large volumes of paper records resulting from inspections and data calls, it is unlikely that USSOUTHCOM will meet the 30 June 2024 deadline to ship records.

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

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

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

☒ Yes
☐ No
☐ Do not know

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

Currently, the CRM is updating USSOUTHCOM Records Management regulation to incorporate new requirements from the DoD Chief Information Officer (CIO) memo dated Aug 3, 2022; OMB M-23-7; and to reinforce OMB M-19-21 guidance.

The CRM also provided RM requirements derived from (M-19-18) and OMB A-130 to the Command J6 (Communications Directorate) and Information Management Team for incorporation into information governance planning and design. The USSOUTHCOM CRM is the central focal point for the Command concerning all RM matters.

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

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

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

☒ Yes
☐ No
☐ Do not know

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

The USSOUTHCOM J6 (Communications Directorate) & United States Army Network Enterprise Center (USANEC) are exploring the possibility of partnering with Cellebrite as an option for bringing the Command into compliance with OMB (M-19-21) and (M-23-7), along with the DoD CIO memo dated Aug 3, 2022, that provided additional direction to the DoD Components related "Records Management Text Messages."

Cellebrite is a well-known tech firm used by other Department of Defense Agencies and the U.S. Intelligence Community (IC). Among other useful features, the Cellebrite-provided solution can extract all data, to include deleted items (Messaging, Web Browser, Personal Information, GPS, etc.), from Government Furnished Equipment (GFE).

Both the USSOUTHCOM J6 and USANEC are also exploring two additional tech firms Axiom & Smarsh) to leverage for compliance to comply with the subject guidance.

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

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

☐ Yes
☒ No
☐ Do not know

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

At this time, there are no ongoing RM activities here at the Command that leverage AI or ML technologies. Given our office's recent re-alignment under the Command's Office of the Chief Data Officer, we expect to begin planning for, researching, and applying these and other "cognitive technologies" to a range of data-centric RM included) here at the Command over the course of the next year, and beyond. More information may be available at the next update.

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

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

☒ Yes
☐ No
☐ Do not know

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

The CRM provides comprehensive oversight of the USSOUTHCOM Records Management Program to ensure that the program is in compliance with federal and departmental laws, statutes, and regulations. This includes the publishing and application of RM policy and

guidance materials and related administration of reporting and inspection/assessment programs across the Command's headquarters element (inclusive of 8 Joint Directorates and a number of Special Staff Offices), three joint task forces that directly report to USSOUTHCOM, and a network of 29 regionally based Security Cooperation Offices, or SCOs.

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

☐ Yes
☒ No
☐ Do not know

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

USSOUTHCOM CRM uses information from NARA's website, Joint Staff guidance, DoD guidance, and memos sent from the DoD CIO to ensure that USSOUTHCOM RM Strategic Plan is lock and step with authoritative guidance.

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☐ Yes

☒ No
☐ Do not know

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

APPENDIX D-10

UNITED STATES SPACE 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 (OMB) and NARA issued a memorandum, Transition to Electronic Records (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines. On December 23, 2022, OMB and NARA issued a new memorandum, Update to Transition to Electronic Records (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Select the name of the applicable DoD Component from the dropdown list for the first page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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: Marlene P. Hagood
- Position title: USSPACECOM Command Records Manager
- Address: 150 Vandenberg Street, 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. **In response to the COVID-19 pandemic, have any of the temporary adaptations to component business processes become permanent improvements to the management and preservation of electronic records?**

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

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

   The USSPACECOM was in the initial building phase when COVID occurred; the command had not yet reached Initial Operating Capability. Therefore, our program was not adapted due to pandemic. However, as the Command established our records management program, best practices adapted by other Commands are the foundation of our Electronic Records Management (ERM) processes.

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

   DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   USSPACECOM created a designated ERM file inventory on the host installation Air Force network system. The ERM was built to comply with the records management program directives and instructions. All records will be retained and managed electronically. The file structure/inventory contains a records disposition schedule to provide users the complete disposition instruction. The Command will not have any records that are eligible for transfer until on or after 2044. A continuous periodic review of NARA's formatting requirements is in-place to ensures standard is followed.

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

    ☒ Yes
    ☐ No
    ☐ Do not know

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

USSPACECOM's current designated ERM has exceeded the 2024 suspense to preserve temporary records electronically. Each folder is managed and kept in an electronic format. The Command Records Manager has created an electronic records disposition schedule in each sections' file inventory to guide disposition. Temporary hard-copy records are required to be scanned unless an approved exception rule and/or if governed by a HHQ instruction or directives.

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

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

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

USSPACECOM is a tenant to the host base (Peterson Space Force Base) and does not have a records storage facility. USSPACECOM has an electronic environment established for record content, therefore commercial storage is not required.

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

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

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

☒ Yes
☐ No
☐ Do not know

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

The Command have policies and procedures implemented regarding information governance to comply with records management framework and requirements. The USSPACECOM Command Records Manager actively and continuously engages with the command stakeholders such as Network, Security, Judge Staff Advocate, FOIA/Privacy, Inspector General to ensure all parties are aware of changes to policies within each other's areas of expertise.

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

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

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

☒ Yes
☐ No
☐ Do not know

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

USSPACECOM is a tenant to the host base. Policies for privacy and security protocols have been developed and disseminated to ensure protection against the loss of electronic messaging records. Hardware and Software upgrades are accomplished by automated group policy procedures controlled by Air Force Communications Units at Scott AFB. Updates are pushed automatically on the network. All scheduled upgrades are communicated between host base Network Operations Center and USSPACECOM Network/J6 locally, the 21 CS conducts routine network back-ups to preserve share drive data including ERM.

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

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

☐ Yes
☒ No
☐ Do not know

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

USSPACECOM is currently utilizing traditional file share explorer. Users file and print policy is in-place to distinguish temporary and permanent records with records control schedule in them. However, the USSPACECOM IT network agencies are researching software applications that may help eliminate the user's burden with the traditional approach to records management.

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

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

☒ Yes
☐ No
☐ Do not know

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

The Command Records Manager is proactively engaged in the ERM program and provides the necessary guidance to USSPACECOM users to adequately manage temporary and permanent records IAW records statutes and regulations. The Command Records Manager uses formal program performance measures, as well as NARA's annual Records Management Self-Assessment to monitor records management program compliance and remedy program activities that need improvement.

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

☒ Yes
☐ No
☐ Do not know

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

Request including records management into the agency's Capital Planning and Investment Control process to include central funding to support the RM program. It would be advantageous to have a standard Electronic Information (EI) technology/tool solution across DoD with cross functional capabilities specifically relating to automation of records. This will eliminate the need for each Command to discover and/or acquire an EI technology/tool solution on their own.

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☐ Yes
☒ No
☐ Do not know

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

APPENDIX D-11

UNITED STATES SPECIAL OPERATIONS COMMAND

The Department of Defense (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 (OMB) and NARA issued a memorandum, Transition to Electronic Records (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines. On December 23, 2022, OMB and NARA issued a new memorandum, Update to Transition to Electronic Records (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Select the name of the applicable DoD Component from the dropdown list for the first page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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 CRM: Sturgis C. Griffin
- Position title: Command Records Manager
- Address: 7701 Tampa Point 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. **In response to the COVID-19 pandemic, have any of the temporary adaptations to component business processes become permanent improvements to the management and preservation of electronic records?**

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

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

   During the pandemic, the U.S. Special Operations Command (USSOCOM) implemented a variety of measures to protect the workforce, to include but not limited to, minimal manning, teleworking, and adhering to COVID-19 protocols. These measures have been lifted and USSOCOM through our Surgeon General office's guidance are following the DoD and CDC guidelines, which has allowed USSOCOM to return to normal operations. Records Management (RM) training for newly assigned personnel, newly appointed files custodians allow for the Command Records Manager (CRM) to stress the importance of preservation of electronic records.

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

   DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   USSOCOM Dir 25-51 directs that all electronic records whose disposition is then (10) years or longer and have not been accessed for more than two (2) years, shall be transferred/archived into CM during the end of cycle action. All long-term and permanent records should be moved in as soon as the business process allows. This system provides the capability of integrating electronic records management (ERM) with existing information systems and establishes a records and document management capability for Headquarters (HQ) USSOCOM (e.g., cradle to grave lifecycle of a document/record). CM is an enterprise document and RM system, which is designed to help USSOCOM capture, manage and

secure business information in order to meet governance and regulatory compliance. CM allows the following:

a. A single governance platform to apply retention and disposition rules automatically across all records.

b. Supports FOIA and Litigation searches with an eDiscovery capability to accurately search across a massive amount of data.

c. Provides in place management of content

d. Information governance with real-time enforcement, compliance, supervision, and surveillance capabilities. e. Security and audit capabilities. Additionally, once all Permanent Records have been moved into the USSOCOM ERMA, the CRM has the ability to run reports that identify all records that are due for disposition to include records that require transfer to NARA.

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

    ☒ Yes
    ☐ No
    ☐ Do not know

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

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 by June 30, 2024.

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

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

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

USSOCOM does not utilize a commercial storage facility to store our records. All permanent records meeting their disposition/retention will be transferred directly to NARA. 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.

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

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

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

☒ Yes
☐ No
☐ Do not know

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

USSOCOM 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 that 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 action 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.

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

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

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

☒ Yes
☐ No

☐ Do not know

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

USSOCOM Dir 25-51 directs that the CRM/DRO/FC conduct the following RM training:

a. RM Computer Based Training. Each HQ USSOCOM Service member/employee is required to complete the RM computer-based training annually. This helps promote the lifecycle of RM through education and training in order to provide continuity of staff work and ensure USSOCOM is in compliance with all legal and regulatory RM requirements.

b. Bi-weekly RM training focused on RM duties and responsibilities, mandated requirements, RM lifecycle, identifying official record/non-record material, conducting a records inventory, creating a compliant file folder structure, and end-of-cycle actions.

c. RM Indoctrination training. This training is conducted as part of the USSOCOM indoctrination course for all new employees. This course provides an overview on the requirement to manage USSOCOM records.

d. Senior Leader training. The CRM/DRO/FC ensures that each General Officer, Flag Officer, and Senior Executive Service is aware of responsibilities with managing Federal Records. This includes, but is not limited to, understanding the RM responsibilities as required by law and identifying records that senior officials create.

e. USSOCOM Dir 25-51 provides specific policies for the management of electronic records, both temporary and permanent, which covers all key bullets listed above except for: The use of tools for digital signatures. The inclusion of RM into the agency's Capital Planning and Investment Control process.

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

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

☐ Yes
☒ No
☐ Do not know

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

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

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

☒ Yes
☐ No
☐ Do not know

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

USSOCOM Dir 25-51 is currently out for staffing to update the directive based on the DoD CIO Memorandum 1 and 2, which directs the following. Upon issuance of a new device, all personnel will sign a user agreement in which they acknowledge there is no expectation of privacy on any DoD provisioned mobile device, and that data on such devices may be monitored, audited, and preserved by the government. Training should include how to determine whether data resident on mobile devices constitutes a federal record; describe how to manage record and non-record mobile data (to include records sent/received on personal or non-official account to be stored within 20 days); ensure proper categorization and application of markings; and describe record retention obligations when a legal hold or preservation notice is received.

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

☐ Yes
☒ No
☐ Do not know

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

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☐ Yes
☒ No
☐ Do not know

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

APPENDIX D-12

UNITED STATES STRATEGIC 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 (OMB) and NARA issued a memorandum, Transition to Electronic Records (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines. On December 23, 2022, OMB and NARA issued a new memorandum, Update to Transition to Electronic Records (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Select the name of the applicable DoD Component from the dropdown list for the first page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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 CRM: 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. **In response to the COVID-19 pandemic, have any of the temporary adaptations to component business processes become permanent improvements to the management and preservation of electronic records?**

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

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

    Before the COVID-19 pandemic, very few personnel were allotted the opportunity to telework; now, most personnel have the knowledge, tools, and capability to work from home and still have access to their Non-secure Internet Protocol Router (NIPR) and Secure Internet Protocol Router (SIPR) profile. Since 2019, United States Strategic Command (USSTRATCOM) works in a virtual environment, which allows personnel the ability to log into any computer at work or home with use of a Common Access Card (CAC) reader, to their NIPR profile. In 2022, tablets were purchased and issued by J6 to personnel assigned from each Directorate that allows individuals the ability to log into their SIPR profile with the use of a card reader. Since everyone at USSTRATCOM has the ability to telework, when Offutt AFB has to close due to inclement weather, personnel are no longer given a day off (snow day), they are now expected to telework. In regards to records created during telework, the simplicity of USSTRATCOM's Records Management (RM) Program allows personnel the ability to drag and drop electronic records into their Office of Record's electronic file plan that was created and is maintained by their File Custodian; thus, resulting in zero challenges of processing and safeguarding records created on NIPR and SIPR domains.

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

    DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

    ☒ Yes
    ☐ No
    ☐ Do not know

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

USSTRATCOM's RM 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 and M-23-07 Goals 1.1 and 1.2 requirements. As stated, permanent electronic records reside in MFCM on NIPR and SIPR; however, as far as permanent records on Top Secret (TS) and Joint Worldwide Intelligence Communications System (JWICS) domains, 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 the National Archives. The above mentioned policy is stated in Strategic Command Instruction (SI) 930-01, regarding "RM Program".

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

 ☒ Yes
 ☐ No
 ☐ Do not know

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

Answer to this question is similar to Question 3 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 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) oversite, 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 SI 930-01, RM Program; along with CRM's briefing slides and tri-fold handout for personnel attending Action Officer Training; and taught during all CRM RM training events.

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

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

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

The CRM retrieved all hard-copy temporary records that were located in a certified storage facility on Offutt AFB; a Memorandum of Agreement with our host Base (i.e., 55th Wing) allowed for the safe keeping of our UNCLASSIFIED hard-copy records; these records were distributed back to the Office of Records within USSTRATCOM to retain until their dispositions are met and destroyed accordingly.

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

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

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

    ☒ Yes
    ☐ No
    ☐ Do not know

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

    SI 930-01, RM Program, provides guidance on how to process records created in all information systems, safeguard Personally Identifiable Information (PII) and Controlled Unclassified Information (CUI) within records, and to offer copies of records of historical value to the Command Historian prior to destruction or submission to the National Archives; this instruction references Security, FOIA/PA, and Knowledge Management (KM) instructions, which in-turn also reference the RM Program.

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

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

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

    ☒ Yes
    ☐ No
    ☐ Do not know

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

Command policy, SI 930-01 (RM Program), dictates that all electronic records (temporary and permanent) are moved by the File Custodian (FC) to the RMA (i.e., Content Manager) on the NIPR and SIPR domains; records on TS and JWICS domains are placed within the Office of Records electronic file plan, created by the FC, for safe keeping until disposition is met and transferred to the National Archives. USSTRATCOM utilizes Defense Enterprise E-mail (DEE) on NIPR and SIPR domains for which all e-mails are maintained at DISA; GO/FO/SES/Selected O6's and Front Office Staff e-mails are being retained under the Capstone Approach at DISA for 15 years upon return to USSTRATCOM for remainder of disposition and transfer to the National Archives.

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

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

☐ Yes
☒ No
☐ Do not know

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

Although USSTRATCOM has policies for saving electronic records that are created within all domains (i.e., NIPR, SIPR, TS, and JWICS), this policy relies on personnel to drag and drop records into their Office of Records electronic file plan created by the File Custodian; unfortunately, there's no way of knowing/ensuring all of USSTRATCOM's electronic records, especially permanent records, are being captured. As CRM, I've reached out to personnel from SharePoint and KM for their assistance in developing a more automated/automatic way for getting completed records, from where the currently reside, into NIPR and SIPR Content Manager and perhaps to the Office of Records electronic file plan on TS domains (Content Manager is on NIPR and SIPR only); thus eliminating the manual drag and drop method.

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

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

☒ Yes
☐ No
☐ Do not know

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

Per SI 930-01, RM Program, the CRM performs bi-annual Staff Assistance Visits (SAVs) throughout the directorates and components to ensure compliance with the command's

policies and procedures reflected in this instruction. SAV results are annotated on USSTRATCOM Form 49, Records Management (RM) Staff Assistance Visit (SAV) Checklist, and routed to the Chief of Staff (J0CS). The Directorate Records Officer works with their Office of Records File Custodian to ensure corrective actions are performed in preparation for a follow-up visit by the CRM regarding any that office's discovered findings.

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

    ☒ Yes
    ☐ No
    ☐ Do not know

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

As CRM, would be helpful to have specific guidance on how to develop a more detailed strategic plan for USSTRATCOM's RM Program; our current plan simply consist of a 6 month fishbone chart that's routed to leadership semi-annually, or as priorities change, so they can have a quick view of the "Big Rocks" the CRM is working (e.g., taskers such as this SAORM report, upcoming SAVs, quarterly meetings, etc.).

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

    ☒ Yes
    ☐ No
    ☐ Do not know

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

Although USSTRATCOM has become fully electronic for recordkeeping, as CRM, 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

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 (OMB) and NARA issued a memorandum, Transition to Electronic Records (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines. On December 23, 2022, OMB and NARA issued a new memorandum, Update to Transition to Electronic Records (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Select the name of the applicable DoD Component from the dropdown list for the first page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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 CRM: Katelyne Ortiz
- Position title: Command Records Manager & Paperwork Reduction Act Liaison
- 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. **In response to the COVID-19 pandemic, have any of the temporary adaptations to component business processes become permanent improvements to the management and preservation of electronic records?**

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

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

   USTRANSCOM had established a SharePoint electronic file cabinet for records while awaiting deployment and operational completion of our new records management tool, Content Manager and Control Point.

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

   DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   Policy was pushed to the command that all paper records shall be converted by scanning capabilities to electronic formats.

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

   ☒ Yes
   ☐ No
   ☐ Do not know

   Please explain your response with specific actions taken, challenges and results.
   Temporary records are reviewed to make sure they still fall under temporary status and or do not have to be kept for longer than intended to. Due to 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.

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

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

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

    TRANSCOM doesn't own or operate any records storage facilities.

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

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

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

    ☒ Yes
    ☐ No
    ☐ Do not know

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

    USTRANSCOM has instruction 5702.01B, Policy for Records Management. This policy establishes lifecycle management of information as records in all media in compliance with law and policy in coordination with all applicable and mandatory agencies.

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

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

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

☒ Yes
☐ No
☐ Do not know

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

USTRANSCOM/J6 personnel are in the process of acquiring a capability to capture and preserve electronic messages specifically for mobile devices. At this time mobile devices that are no longer in use are out of rotation until the capability is deployed and operational and policies and procedures are in place.

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

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

☒ Yes
☐ No
☐ Do not know

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

USTRANSCOM invested in IT tools to assist with electronic records keeping and help eliminate the digital landfill of stored materials. As part of USTRANSCOM overall Records Management plan, two new tools are being deployed. The first tool is Content Manager which will serve as the core repository tool with extensive search capability, the system will have required metadata.   The second tool is Control Point, which is an artificial intelligence system that will search shared drives, SharePoint, and other systems for unstructured data like records already stored in Content Manager.

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

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

☒ Yes
☐ No
☐ Do not know

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

Yes, per our USTCI 5702.01B, we regularly oversee and evaluate the records management program and its compliance with statutes and all other regulations. The USTRANSOM Inspector General inspects per a defined schedule.

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

☐ Yes
☒ No
☐ Do not know

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

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☐ Yes
☒ No
☐ Do not know

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

APPENDIX E

OFFICE OF THE SECRETARY OF DEFENSE COMPONENT SAORM REPORT

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 (OMB) and NARA issued a memorandum, Transition to Electronic Records (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines. On December 23, 2022, OMB and NARA issued a new memorandum, Update to Transition to Electronic Records (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Select the name of the applicable DoD Component from the dropdown list for the first page and the footer.
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- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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: Mr. Darren L. Irvine
- Position title: Director, Executive Services Directorate, Washington Headquarters Services, Office of the Secretary of Defense
- Address: 1155 Defense Pentagon Washington, DC 20301

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

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

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

In 2020, the Defense Information Systems Agency (DISA) and the Joint Service Provider (JSP) deployed collaborative platforms such as MS TEAMS and the DoD Cloud Solution (DoD 365) across the Department. Due to licensing constraints, records management (RM) capabilities for these solutions were not fully addressed until June of 2021. Although, these solutions have some RM capabilities and can assist with the automatic retention of records and information within Microsoft Office 365, there were some concerns. Due to cybersecurity and technical issues, there are slight delays in deployment. DISA and JSP are working with Microsoft and its customers to resolve these issues.

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

DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

☒ Yes
☐ No
☐ Do not know

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

Although OSD has made progress, such as developing new policies to assist offices with identifying data and coordinating with IT Staff (DISA and JSP) on implementing disposition authorities into Microsoft Office 365 for the OSD Components, there are several missing ingredients into accomplishing this goal. Challenges include:
- Gaps in the proposed RM solution for DoD 365, primarily event based retention schedules and the identification and implementation of roles and responsibilities within the DoD 365 cloud tenant.

- The lack of a long-term storage solution, funding, staffing and coordination between CIOs, IT, business process owners, and RM.
- Areas of organizational resistance to change, management of digital classified information, competing IT systems and information silos.
- The delayed update to 36 CFR 1236 Electronic Records Management has caused significant concern among records managers wanting to digitize and destroy hardcopy records.

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

    ☒ Yes
    ☐ No
    ☐ Do not know

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

Due to IT consolidation and budgetary constraints, a significant amount of the temporary records within the OSD Components, Defense Agencies and Field Activities 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 share drives and SharePoint. However once DISA/JSP has implemented the DoD 365 Cloud tenant RM solution records management personnel will have greater granularity into the management of records.

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

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

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

To date none of the OSD Components, Defense Agencies and Field Activities have identified a need to obtain commercial storage. In anticipation of M-19-21, section 1.3 the OSD Components made a concerted effort to transfer and accession a significant volume of hardcopy records to NARA facilities.

Additionally, due to the extension of the requirements in M-23-07, the OSD RIM program will continue to assist and encourage the OSD Components, Defense Agencies and Field Activities to identify and transfer inactive/closed, permanent and long-term temporary records to NARA facilities.

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

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

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

☒ Yes
☐ No
☐ Do not know

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

OSD RIM program is a member of a DoD-wide working group to develop IG framework and guidance. The OSD RIM program is a mandatory coordinator on the issuance of OSD and DoD Policy, allowing our office to review and identify conflicts with Federal law/regulations and/or OSD RIM policies. Additionally, this enables the OSD RIM Program to ensure RM controls are taken into consideration when program managers gather requirements for their information systems.

The OSD RIM Program coordinates with CIO, CDO, SAORM, Security, Privacy Officers, and FOIA on a variety of issues regarding the protection of legal, financial rights and interests of the Federal Government and of persons affected by U.S. Government.

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

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

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

☒ Yes
☐ No

☐ Do not know

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

OSD RIM policies and procedures, Administrative Instruction 15 (AI-15), has been updated and completed the external review process; it is being prepared for legal review. To assist our customers in obtaining compliance with OMB guidance and the Federal Records Act, we have created a supplemental guidance document named the OSD PRIMER. The OSD PRIMER provides detailed procedures regarding the management of records. Both AI-15 and the PRIMER contain updated guidance on the retention, use and management of electronic messages and electronic messaging systems.

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

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

☒ Yes
☐ No
☐ Do not know

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

On 1 February 2022, The Secretary of Defense established the Office of the Chief Digital and Artificial Intelligence Officer (CDAO). The CDAO is charged with leading and overseeing DoD's strategy development and policy formulation for data, analytics, and AI; work to break down barriers to data and AI adoption within appropriate DoD institutional processes; and create enabling digital infrastructure and services that support Components' development and deployment of data, analytics, AI, and digital-enabled solutions.

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

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

☒ Yes
☐ No
☐ Do not know

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

The OSD RIM program revamped its assessments in 2018. All OSD Components, Defense Agencies and Field Activities are assessed in a cyclical manner and consistent with the NARA inspection program. The SAORM reviews and signs all OSD RIM compliance assessments conducted by the OSD RIM Program. RIM assessments include the following categories: RIM oversight and compliance for personnel; program implementation; disposition of records; departing personnel; and electronic records management.

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

☐ Yes
☒ No
☐ Do not know

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

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☒ Yes
☐ No
☐ Do not know

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

The OSD RIM Program recommends the Chief Records Officer meet with the individual DoD SAORMs and their Federal Records Officers targeted to address compliance issues and progress made by their agencies/departments. Within DoD there are six SAORMs (each Military Department, the Chairman of the Joint Chief of Staff, and OSD), group settings with 50-100 other federal agencies SAORMs do not allow for DoD SAORMs and records officers to engage with NARA of specific issues/concerns within their department or set expectations for their programs with NARA. Some areas for discussion are information management, (new) RM requirements, 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

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 (OMB) and NARA issued a memorandum, Transition to Electronic Records (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines. On December 23, 2022, OMB and NARA issued a new memorandum, Update to Transition to Electronic Records (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Select the name of the applicable DoD Component from the dropdown list for the first page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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: Jack Christensen
- Position title: Agency Records Officer
- Address: 3911 S. Walton Walker Blvd, Dallas TX, 75236

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

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

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

    The Pandemic accelerated efforts to digitize most temporary record formats.

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

    DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

    ☒ Yes
    ☐ No
    ☐ Do not know

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

    Departmental inventories are being conducted to include volumes for digitization cost estimation purposes.

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

    ☒ Yes
    ☐ No
    ☐ Do not know

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

    AAFES has purchased and implemented a RM tool that is DoD 5015.02 compliant and is capable of managing all temporary records with the appropriate metadata.

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

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

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

AAFES maintains some temporary records in a secure holding area within our HQ. Will need further clarification on whether or not these records are excluded in this memorandum.

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

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

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

☐ Yes
☒ No
☐ Do not know

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

The Army & Air Force Exchange Service has difficulty putting Records Management at the forefront of design and implementation for systems. Governance continues to be an afterthought in most cases. Our IT Governance leadership is working to push these discussions further forward in the discovery and implementation processes.

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

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

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

☐ Yes
☐ No
☒ Do not know

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

AAFES has developed policy to ensure retention of general e-mail messaging, as well as identified permanent role-based e-mail threads using the Capstone approach. As I am new to the role, I will need to further research what the hardware/software upgrades entail.

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

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

☒ Yes
☐ No
☐ Do not know

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

AAFES' RM tool has a component that is able to learn and apply metrics to aid in managing e-mail and other digital messaging. While AAFES does not currently own this component, it was demonstrated to us, and our Governance team may explore further.

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

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

☐ Yes
☒ No
☐ Do not know

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

I have recently taken over as SAORM for AAFES and have not yet had the opportunity to evaluate our program holistically.

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

☐ Yes
☒ No
☐ Do not know

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

NARA and our assigned Appraisal Archivist have been very helpful in providing the necessary jumping off space for myself as a new agency RMO.

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☐ Yes
☒ No
☐ Do not know

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

APPENDIX F-2

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 (OMB) and NARA issued a memorandum, Transition to Electronic Records (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines. On December 23, 2022, OMB and NARA issued a new memorandum, Update to Transition to Electronic Records (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Select the name of the applicable DoD Component from the dropdown list for the first page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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 Records Officer: 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. **In response to the COVID-19 pandemic, have any of the temporary adaptations to component business processes become permanent improvements to the management and preservation of electronic records?**

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

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

   During the COVID-19 pandemic period a permanent change was made to an Agency system to print to PDF only. This change forced the elimination of paper records and allowed staff to keep documents electronic from start to finish. The change was made to bring this process into compliance with the OMB M-19-21 mandate.

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

   DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   Agency permanent paper records have been converted to electronic format and eligible records are currently being prepared for transfer to the National Archives and Records Administration (NARA). All permanent email records under Capstone with a start date of January 1, 2017 will be transferred as well however, these records will not be eligible for transfer until 2039.

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

☒ Yes
☐ No
☐ Do not know

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

DeCA implemented a Records Management Application (RMA) to comply with M-19-21 and M-23-07, 1.3.

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

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

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

The Agency has digitized the majority of its records at 236 Store locations. Headquarters and other Activities are maintaining records in electronic format using share drives and SharePoint. However, challenges exist and the full closure of storage facilities will be dependent on resolution of the challenges listed below:

➢ Funds are needed to continue to maintain Agency records in electronic format and in compliance with NARA requirements.

➢ Time and Attendance records has been a challenge to convert into electronic format for 236 store locations and continues to be stored in paper format.

➢ Funds are needed to destroy boxes of paper records scanned into the Agency RMA.

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

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

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

☒ Yes
☐ No
☐ Do not know

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

The Defense Commissary Agency works closely with representatives within the DeCA Information Governance framework to integrate records management, knowledge management, data management, and other information programs such as Privacy and Freedom of Information Act (FOIA) programs into the Information Governance Framework. Examples of some Agency processes includes:

> The IT Management and Oversight Directorate conducts a weekly Technical Review Board Process to review all new systems and upgraded systems to ensure information governance processes are addressed to include security, cyber security, protection of PII, and records management retention requirements.

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

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

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

☒ Yes
☐ No
☐ Do not know

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

The Agency manages its email using the Capstone approach and NARA GRS 6.1. The capturing of other types of electronic- messages is a challenge and further guidance from NARA would be appreciated.

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

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

☒ Yes
☐ No
☐ Do not know

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

Yes. The Agency's RMA search and retrieval process is fully automated and based on metadata to include metadata that identifies temporary and permanent records with accuracy. Additionally, the RMA has full text search capability to support eDiscovery requests and other search requirements with a reasonable amount of accuracy.

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

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

☒ Yes
☐ No
☐ Do not know

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

The Agency conducts a records management annual self-assessment to identify strengths and program weaknesses.

As a result of limited resources and program weaknesses the Agency has conducted meetings with stakeholders to help transition the Agency to electronic records.   Examples at DeCA include:

➢ Assessed the current volume of expired paper records to be destroyed across the Agency and discussed with the appropriate stakeholders' actions to be taken to help improve this process to include:

   o Recommended the inclusion of Records Management quarterly review on

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Management Checklist to report volume of boxes of paper stored/destroyed onsite on a quarterly basis.

- o Adjusted the minimum criteria for personnel at Store locations to serve as a Functional Area Records Manager (FARM/Records Liaison), the employee must be a manager or GS-9 or above. Previously, Store Secretaries served as the FARM.
- o Established weekly meetings with key stakeholders to improve program progress, communications, and brainstorming sessions to address Agency Information Governance weaknesses. Examples include:
    - Increase timeliness of Records Management Onboarding/out-processing requirements
    - Capture of text messages, instant messages, and social media records
    - Address records types that has been a challenge to convert to electronic format
    - Conduct review of closed litigations

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

☒ Yes
☐ No
☐ Do not know

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

It would be extremely beneficial to Federal agencies if NARA ERM guidance could be released to agencies at least 1 year prior to the DoD mandate instead of 6 months prior to the agencies requirement to meet the mandates. For example, under the new mandate and NARA/OMB Directive M-23-07:

➢ Federal Agencies must be compliant with ERM standards by June 30, 2024
➢ NARA is responsible for establishing ERM standards and requirements for Federal agencies to procure ERMS solutions and services no later than December 31, 2023

Agencies require a minimum of 10 months to process an acquisition package for an ERM. If NARA provides this guidance 6 months out from the current mandate, agencies will be setup not to meet the June 30, 2024 mandate or will fail to be in full compliance with the NARA guidance released 4 months too late to meet the acquisition process.

Additionally more information on cloud environments, social media, mobile devices, permanent records, waivers, and program best practices would be useful.

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☒ Yes
☐ No
☐ Do not know

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

Include policy and best practices as part of the suspense/mandate package rather than 6 months or less before the mandate is due.

Agencies work hard to meet program mandates and it is very difficult to adequately plan to meet acquisition requirements, obtain funding, resources, obtain leadership buy-in when NARA is still developing guidance or rewriting entries into the CFR as agencies are working to meet the mandate.

I would like see more information on how NARA determines Capstone positions for agencies. The current criteria is not clear.

APPENDIX F-3

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 (OMB) and NARA issued a memorandum, Transition to Electronic Records (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines. On December 23, 2022, OMB and NARA issued a new memorandum, Update to Transition to Electronic Records (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Select the name of the applicable DoD Component from the dropdown list for the first page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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: Michael Beaupre
- Position title: Assistant Director, Human Capital and Resource Management
- Address: 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.

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

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

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

   Business processes were not impacted by the COVID-19 pandemic

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

   DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   DCAA Permanent records are being preserved electronically with appropriate metadata, in accordance with DCAA's records schedule.

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

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   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 transfer those records to a Federal Center, and/or schedule scanning and shredding services as needed.

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

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

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

DCAA does not maintain an agency-operated records storage facility nor use a commercial records storage facilities.

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

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

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

    ☐ Yes
    ☒ No
    ☐ Do not know

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

DCAA is currently upgrading to Microsoft Office 365 (O'365) and transitioning to the DoD 365 joint-tenant environment. DCAA is collaborating with the Defense Enterprise Office Solution (DEOS) implementation team, Defense Information Systems Agency (DISA), Chief Information Officer (CIO), and other program officials to integrate our existing business systems with the DoD 365 environment and develop policies and procedures to manage our records, workflows, and conduct records searches, within the new environment. In addition, the DCAA Records Officer continues strives to establish stronger relationships with those involved throughout the information governance framework, including information management, data management, and knowledge management groups.

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

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

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

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   DCAA's email management policy is being revised to add requirements for managing records electronically to include text message, and incorporate management of permanent and electronic records, including when hardware or software are upgraded.

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

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

   ☐ Yes
   ☒ No
   ☐ Do not know

   Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

   DCAA is not exploring or using cognitive technologies at this time.

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

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

☒ Yes
☐ No
☐ Do not know

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

The SAORM is actively engaged with agency records officers and has taken positive steps to provide the necessary guidance and resources to transition to a full electronic records management environment.

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

☒ Yes
☐ No
☐ Do not know

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

Guidance on various aspects of electronic recordkeeping implementation to include automation, cloud environments, and implementation of commercial IT products such as Microsoft Office 365.

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☐ Yes
☒ No
☐ Do not know

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

Topics for future engagements should include more guidance on cloud computing, with an emphasis on RM responsibilities, reviewing General Records Schedule verbiage for event-driven records, and updating GRS to reflect an electronic posture.

APPENDIX F-4

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 (OMB) and NARA issued a memorandum, Transition to Electronic Records (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines. On December 23, 2022, OMB and NARA issued a new memorandum, Update to Transition to Electronic Records (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Select the name of the applicable DoD Component from the dropdown list for the first page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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: Christine Condon
- Position title: Deputy DOD CIO for Resources and Analysis
- Address: DoD, 6000 Defense Pentagon, Washington, DC 20301-6000

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

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

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

   The COVID-19 pandemic has been the catalyst for change at DCMA. The Agency has adopted to move toward a more hybrid work environment that provides more flexibility with increased telework and remote employees. This new virtual environment continues to shift the Agency to implement practices and business processes necessary to maintain official records electronically to the fullest extent possible.

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

   DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   DCMA continues to identify, manage, preserve and transfer permanent records in electronic format with appropriate metadata by June 30, 2024. Metadata has been standardized for Agency-wide use when official permanent records are created,

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

   ☒ Yes
   ☐ No
   ☐ Do not know

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

Yes, DCMA has taken action to meet the goal to manage and preserve all temporary record in an electronic format by June 30, 2024.

- Metadata requirements have been standardized for Agency-wide use when creating official records
- O365J has been designated as the official platform for the Agency's RMA solution. DCMA is currently working with DISA in the development of the centralized records repository for records and has begun to migrate records from Share Point 2016 to O365J.

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

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

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

DCMA has never established an agency-operated records storage facility. DCMA has always utilized Federal Records Centers for legacy long-term temporary records in hard copy format.

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

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

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

    ☐ Yes
    ☒ No
    ☐ Do not know

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

DCMA does not have a CDO, SAORM, DRO, or a complete RM staff. However, as the Agency's Records Officer, the contact with major stakeholders (i.e., CIO, Security, Privacy

and FOIA has increased and the requirement has been implemented within policy and the information governance framework.

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

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

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

    ☒ Yes
    ☐ No
    ☐ Do not know

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

    DCMA is currently incorporating and updating existing requirements within the records management policy manual to include other electronic messages that satisfy the definition of a federal record.

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

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

    ☐ Yes
    ☒ No
    ☐ Do not know

    Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

    No discussions of cognitive technologies to identify records, temporary or permanent have occurred at this time.

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

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

☐ Yes
☒ No
☐ Do not know

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

The SAORM for DCMA is at the DoD Level. The Agency Records Officer regularly oversees and evaluates the RIM program for compliancy. The use of the following assists in the evaluations:

- The annual reports required by NARA
- The Agency's internal control processes specific to records management

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

☐ Yes
☒ No
☐ Do not know

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

No specific guidance. However, timely policy and guidance is encouraged. Defense Agencies are often waiting on NARA for direction and guidance on implementation of their requirements.

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☒ Yes
☐ No
☐ Do not know

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

Engage with SAORM's more than just the annual SOARM report; bi-annually or quarterly.

APPENDIX F-5

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 (OMB) and NARA issued a memorandum, Transition to Electronic Records (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines. On December 23, 2022, OMB and NARA issued a new memorandum, Update to Transition to Electronic Records (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Select the name of the applicable DoD Component from the dropdown list for the first page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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):

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

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

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

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

   DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   DCSA is implementing an enterprise-wide electronic records management application (eRMA) with the capability to manage permanent electronic records and pre-accession them for transfer to NARA. The eRMA will also 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.

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

   ☒ Yes
   ☐ No
   ☐ Do not know

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

Once implemented, the eRMA will allow DCSA will meet this goal. It will allow for full management and preservation of all temporary records in an electronic format throughout the lifecycle of the record.

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

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

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

    DCSA does not have any agency-operated records storage facilities.

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

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

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

    ☒ Yes
    ☐ No
    ☐ Do not know

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

    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.

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

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

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

☐ Yes
☒ No
☐ Do not know

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

The DCSA Records Officer and OCIO are developing policy for the preservation of electronic records including mobile data.

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

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

☒ Yes
☐ No
☐ Do not know

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

The eRMA that DCSA will implement has the capability to utilize some cognitive technologies to identify records.

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

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

☒ Yes
☐ No
☐ Do not know

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

The DCSA Records Officer does oversee and evaluate the effectiveness of the program. Process improvements are being developed, and when fully implemented the eRMA will allow the Records Officer to incorporate specific measures to better oversee the program.

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

☐ Yes
☒ No
☐ Do not know

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

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☐ Yes
☒ No
☐ Do not know

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

APPENDIX F-6

DEFENSE FINANCE AND ACCOUNTING 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 (OMB) and NARA issued a memorandum, Transition to Electronic Records (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines. On December 23, 2022, OMB and NARA issued a new memorandum, Update to Transition to Electronic Records (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Select the name of the applicable DoD Component from the dropdown list for the first page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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: Michelle Clifford
- Position title: Agency Records Program Manager
- Address: 8899 E. 56th St, ATTN: PCRE, 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. **In response to the COVID-19 pandemic, have any of the temporary adaptations to component business processes become permanent improvements to the management and preservation of electronic records?**

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

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

   Defense Finance and Accounting Services (DFAS) has been teleworking since 17 March 2020. There is some essential on site work and personnel go on site, as necessary for CAC renewal, IT issues, etc. Temporary record transfers to the FRC for FY19 and FY20 were delayed for shipment due to Covid-19. These transfers occurred in FY23 prior to elimination of paper record transfers. DFAS coordinated record transfers with the Dayton FRC.

   Electronic records storage was encouraged and enhanced to meet mission requirements. In addition, teleworking slowed the scanning of paper records for electronic storage.

   Procedures were implemented allowing employees access to work sites during Covid-19 and electronic records storage was encouraged and enhanced to meet mission requirements.

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

   DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   Transitioned to all electronic records. Validation is done by Site Inspections, and file plan.

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

    ☒ Yes
    ☐ No
    ☐ Do not know

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

Existing paper records are scanned and stored in electronic systems. Site Records Managers coordinating with respective offices to ensure the goal is met.

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

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

    Please explain your response with specific actions taken, challenges and

    results. Not applicable, DFAS does not operate any storage facilities.

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

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

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

    ☒ Yes
    ☐ No
    ☐ Do not know

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

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.

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

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

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

☒ Yes
☐ No
☐ Do not know

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

DFAS Operations and Enterprise Solutions and Standards ensure records management is a part of all electronic system changes and development. Records management reviews all changes in systems to ensure emphasis on records management requirements.

DFAS 8430.01 Policy for I&T, System Life Cycle (SLC) Management, establishes the SLC for DFAS owned systems and integrates, for example, acquisition management (DoD Instruction (DoDI) 5000.02), technical considerations, investment controls, other DFAS and DoD approval considerations, and risk management framework (RMF) (DFAS Instruction 8510.01) into the overall life cycle.

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

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

☐ Yes
☒ No
☐ Do not know

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

DFAS is not implementing such tools for records management.

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

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

☒ Yes
☐ No
☐ Do not know

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

- Incorporate DFAS 5015.2-M changes and new schedules for (Insider Threat) and (Capstone).
- Control Litigation/ Freezes
- Am involved with CEDMS, IRWG, ePortal Governance, and PIA working groups to ensure Records Management policy and procedures are followed.
- Provide training and guidance to all Site Records Managers, including training packages for all annual Records Management training.
- Review all Litigation Holds with the Office of General Counsel to ensure all legal holds are current and all closed matters are removed, ensuring proper records management disposal procedures are followed.
- Provide numerous timely customer service responses, both by email and telephone. Ensure requests are tracked and followed, meeting customer requirements.
- Serve as Archives and Records Centers Information System (ARCIS) system administrator for Records Group (507 DFAS) for Department of Defense. Approve and assign roles for all ARCIS users. Provide training for new users to include the establishing user roles and error resolution.
- Managed the budget of the Records Management program, to ensure the program meets budget. Completed the FY23 DFAS/NARA support agreement and budget.
- Coordinated working groups with Office of the General Counsel and Information & Technology to revise the DFAS 5015.2-I (Records Management Instruction).
- DFAS Records Site review biannually. Audit of Record Custodian appointment letters, that training has been provided and attended, and documented. File Plans approved. Records Storage, and Disposals notices are maintained

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

☐ Yes
☒ No

☐ Do not know

Please explain your response and include any comments on existing, pending, and future topics.
We follow and comply with NARA policy.

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☒ Yes
☐ No
☐ Do not know

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

Archives and Records Centers Information System (ARCIS) is not user friendly for DFAS, especially the inability to extract a report as an Excel spreadsheet.

APPENDIX F-7

DEFENSE INFORMATION SYSTEMS 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 (OMB) and NARA issued a memorandum, Transition to Electronic Records (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines. On December 23, 2022, OMB and NARA issued a new memorandum, Update to Transition to Electronic Records (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Select the name of the applicable DoD Component from the dropdown list for the first page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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 Agency Contact: LaTosha S. Thomas
- Position title: Agency Records Officer
- Address: 6914 Cooper Avenue, 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. **In response to the COVID-19 pandemic, have any of the temporary adaptations to component business processes become permanent improvements to the management and preservation of electronic records?**

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

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

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

   DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   About 90% of the agency has already transitioned to electronic records management. We will address and assist the remaining 10% of the agency to meet the June 24, 2024 deadline.

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

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   All temporary records are already managed in an electronic format.

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

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

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

DISA does not use commercial facilities to store temporary records.

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

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

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

    ☐ Yes
    ☐ No
    ☒ Do not know

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

Currently, the Records Management Program Office (RMPO) has relationships with the CIO, Privacy Officer, RM staff (network of RLs), FOIA office and the CDO. We attend regular bi-monthly meetings with the DOD CIO office of the SAORM and have engaged with personnel from that group. The plan is to foster a relationship with the Security Division.   There is no guidance that incorporates all these groups for DISA.

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

NARA Note: Electronic messages means electronic mail and other electronic messaging systems that are used for purposes of communicating between individuals. Electronic messages that satisfy the definition of a federal record under the Federal Records Act are

electronic records. This includes email, text messages, chat messages, voicemail, social media posts, and other similar applications. (See: [Email Management](#) and [CFR 1236: Electronic Records Management](#))

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

☒ Yes
☐ No
☐ Do not know

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

DISA has purchased software that captures the electronic messaging on mobile devices and created a Standard Operating Procedures (SOP). DISA utilizes Microsoft Outlook for email and Microsoft 365 for the management of emails.

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

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

☒ Yes
☐ No
☐ Do not know

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

DISA is exploring the possibility of acquiring the Feith Systems RMA IQ software. The RMA IQ software allows you to record, archive, and dispose of temporary records; it also assists in using, finding, and analyzing stored records for permanent preservation.

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

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

☒ Yes
☐ No
☐ Do not know

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

DISA does annual risk management internal controls testing that includes records management.

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

☐ Yes
    ☒ No
☐ Do not know

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

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

    ☐ Yes
    ☒ No
    ☐ Do not know

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

APPENDIX F-8

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 (OMB) and NARA issued a memorandum, Transition to Electronic Records (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines. On December 23, 2022, OMB and NARA issued a new memorandum, Update to Transition to Electronic Records (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Select the name of the applicable DoD Component from the dropdown list for the first page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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 ARO: Cecilia Wiker
- Position title: Agency Records Officer
- Address: 74 Washington Ave N, Battle Creek, MI

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

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

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

   The expansion to full-time telework, due to Covid, over the course of 2 years helped business processes to transition to electronic records more quickly. Example, At the beginning of the pandemic an officed identified they were predominately using physical records, to include coordination with other offices. During the pandemic they updated their process to utilize SharePoint and MS Teams to coordinate electronic documents and to centralize filing in an electronic repository.

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

   DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   DLA RIM will be doing a permanent records inventory in 2023 to validate offices that create permanent records. During the inventory process the appropriate metadata will be identified and coordinated with IT to facilitate the transfer of the permanent electronic records.

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

   ☒ Yes
   ☐ No

☐ Do not know

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

In 2022 we conducted a physical records inventory and identified areas that are creating/maintaining physical records. The DLA RM policy is being updated in 2023 and will include information on metadata, and transferring of electronic records.

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

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

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

DLA does not have any RHAs; however, we have identified offices that manage Hazardous Waste Contracts and Foreign Military Sales that are in the process of fully transitioning to electronic records. The offices have identified they require a longer timeframe to meet the requirement. A waiver request was submitted to extend the date to January 2028 to allow current contracts to be closed and in 2023 all new contracts will be managed electronically

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

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

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

  ☒ Yes
  ☐ No
  ☐ Do not know

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

The DLA RIM program falls under the Information Governance and Compliance Division, which falls under the Chief Data and Analytics Office Division. The DLA Records Officer has no routine interaction with the CIO or security staff.

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

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

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

☒ Yes
☐ No
☐ Do not know

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

DLA RM policy includes information on the capture and preservation of electronic messages (eMail) and will be updated in 2023 to include text and chat messages

The RM policy does not include information on when hardware or software is upgraded but does identify the requirement for a migration plan.

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

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

☒ Yes
☐ No
☐ Do not know

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

DLA submitted a Business Case Analysis (BCA) in 2020 and in 2022 for File Analysis Software (FAS); however, funding was not approved. The RIM program will resubmit another BCA to attempt to obtain FAS.

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

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

☒ Yes
☐ No
☐ Do not know

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

The ARO and the RIM staff (Component Records Officers) conduct regular office evaluations to identify any gaps and make recommendations on ways to improve the capture and management of records. The RM program also utilizes the annual NARA RMSA as a tool for improvement.

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

☒ Yes
☐ No
☐ Do not know

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

Strategic guidance is needed from NARA on evaluating recordkeeping maturity and applying risk assessment to unstructured and structured electronic records

Manual review and deletion processes are not compatible with electronic records. The volume of electronic records and information created and maintained on various platforms and repositories continues to grow; however, RIM programs do not have current tools for the efficient and effective monitoring of that information to ensure it is being dispositioned or transferred in accordance with the agency records schedule.

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☒ Yes
☐ No
☐ Do not know

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

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

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 (OMB) and NARA issued a memorandum, Transition to Electronic Records (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines. On December 23, 2022, OMB and NARA issued a new memorandum, Update to Transition to Electronic Records (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Select the name of the applicable DoD Component from the dropdown list for the first page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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 Jacks
- Position title: Chief Information Officer and Deputy Administrator
- Address: 8725 John J Kingman Rd., Ft. 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. **In response to the COVID-19 pandemic, have any of the temporary adaptations to component business processes become permanent improvements to the management and preservation of electronic records?**

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

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

   The pandemic has served as a forcing function for electronic records management and formalization of processes for inspecting electronic records.

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

   DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   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.

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

   ☒ Yes
   ☐ No
   ☐ Do not know

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

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

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

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

DTIC is a consumer of enterprise IT and business systems; we do not have our own electronic records management system. DoD CIO and DISA need to ensure RM is integrated into all enterprise service offerings.

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

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

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

 ☐ Yes
 ☒ No
 ☐ Do not know

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

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, the subject of the Administrative schedule, are largely held in service provider systems and email.

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

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

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

☐ Yes
☐ No
☒ Do not know

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

DTIC is a consumer of enterprise IT and business systems; we do not have our own electronic records management system. DoD CIO and DISA need to ensure RM is integrated into all enterprise service offerings.

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

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

☐ Yes
☒ No
☐ Do not know

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

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

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

☒ Yes
☐ No
☐ Do not know

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

DTIC is a small Field Activity which affords me direct interaction with the Agency Records Officer and six Records Custodians. My interaction has been further enhanced since our ARO retired at the end of 2022.

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

☐ Yes
☒ No
☐ Do not know

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

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☒ Yes
☐ No
☐ Do not know

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

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

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 (OMB) and NARA issued a memorandum, Transition to Electronic Records (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines. On December 23, 2022, OMB and NARA issued a new memorandum, Update to Transition to Electronic Records (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Select the name of the applicable DoD Component from the dropdown list for the first page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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: Mr. Robert W. Turk
- Position title: Acting Director, Information Management and Technology Directorate / Acting Chief Information Officer (CIO)
- 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. **In response to the COVID-19 pandemic, have any of the temporary adaptations to component business processes become permanent improvements to the management and preservation of electronic records?**

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

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

   The Defense Threat Reduction Agency (DTRA) had no changes to business processes for management and preservation of electronic records. However, the COVID-19 hybrid work environment forced DTRA into full electronic correspondence due to maximum telework. This accelerated our timeline to transition from paper records to electronic records management.

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

   DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   DTRA has made great progress identifying Agency-wide solutions to manage records electronically and continues to evaluate internal and Federal best practices for the management of electronic records. The DTRA Records Management (RM) team has worked closely with Agency Records Managers to identify and develop additional functional requirements utilizing a cost-effective Agency-wide solution, SharePoint 2016 Record Center. The RM team is utilizing SharePoint Records Center to implement RM solutions in the records center site and to comply with the mandate to manage records electronically. The RM team collaborated with the Agency Directorates to transfer permanent paper records to electronic format, including the installation of two high speed scanners to support scanning classified and unclassified documents. Once electronic, the RM teams assist

offices in storing the new electronic records in file folders with the correct series and description, per guidance from NARA.

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

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   The DTRA RM team is collaborating with the DTRA 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. As of December 31, 2022, 84.6% of DTRA offices have temporary records are in electronic format. We have an estimated all temporary records will be converted to electronic format no later than June 2024.

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

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

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

   DTRA is forecasting to be fully compliant with the requirements of M-19-21, 1.3 and M-23-07 by June 30, 2024. The DTRA RM team is collaborating with the DTRA 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. As of December 31, 2022, 84.6% of DTRA offices have temporary records in electronic format.

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

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

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

☒ Yes
□ No
□ Do not know

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

The DTRA RM Program is organizational aligned to the Knowledge, Data, and Digital Services Department in the Information Management and Technology Directorate. In this capacity, the RM program is also organizational aligned under the Chief Data Officer (CDO), and Chief Information Officer (CIO). RM is integrated into the framework that governs Data and Records Management, which is aligned to Chief Information Officer Policies and priorities. The framework will be governed by the Data and Analytic Strategic Action Plan (draft) and Records Management Strategic Objectives. The Records Management Program is a DTRA division that also is responsible for the Freedom of Information Act (FOIA) and Privacy Act programs. RM, FOIA, and PA work closely with the DTRA IG to support all areas of records management preservation holds, FOIA requests, and Privacy Act efforts.

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

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

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

☒ Yes
□ No
□ Do not know

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

Yes. DTRA Instruction 5015.02, "DTRA Records Management Program," addresses the capture and preservation of electronic messages.

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

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

   ☐ Yes
   ☒ No
   ☐ Do not know

   Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

   At this time, DTRA is not using or exploring any cognitive technologies to support records management.

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

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

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   The DTRA Agency Records Officer (ARO) provides monthly briefings to the SAORM on the records management program activities.

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

    ☒ Yes
    ☐ No
    ☐ Do not know

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

DTRA requires guidance in order to comply with the recent DoD Memorandum, "Increasing DoD Accountability for Records and Controlled Unclassified Information," dated 28 October 2022, to update policies and procedures to comply with e-discovery, litigation, and preservation obligations for federal records created or managed in the service.

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☒ Yes
☐ No
☐ Do not know

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

Yes. Suggest scheduling periodic DOD Component SAORM meetings, similar to the DOD Records Officer meetings, to discuss budgetary requirements for RM Programs.

APPENDIX F-11

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 (OMB) and NARA issued a memorandum, Transition to Electronic Records (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines. On December 23, 2022, OMB and NARA issued a new memorandum, Update to Transition to Electronic Records (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Select the name of the applicable DoD Component from the dropdown list for the first page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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: COL Quintina S. Wallace
- Position title: Chief Information Officer (Acting)
- Address: 5224 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. **In response to the COVID-19 pandemic, have any of the temporary adaptations to component business processes become permanent improvements to the management and preservation of electronic records?**

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

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

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

   DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

   ☒ Yes
   ☐ No
   ☐ Do not know

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

   Yes. The Missile Defense Agency currently manages all permanent records in electronic format with the appropriate metadata tags for data queries, searches and transfers. 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.

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

☒ Yes
☐ No
☐ Do not know

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

Yes. The Missile Defense Agency currently manages its temporary records in electronic format. In compliance with M-19-21, the Agency contracted with the Defense Logistics Agency in 2022 to digitize approximately 300 boxes of paper records, which were long-term contract records for programs that spanned decades. The majority of the Agency's current inventory now reside in digital format, with only a small batch of records in the process of being outsourced for digitization.

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

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

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

The MDA does not require physical storage for temporary paper records.

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

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

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

    ☒ Yes
    ☐ No
    ☐ Do not know

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

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.

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

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

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

☒ Yes
☐ No
☐ Do not know

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

The procedure is that all electronic messaging (including text and email), is preserved for seven years and is searchable in accordance with email messaging retention policies and compliance with the General Records Schedule. The MDA Records Management Team works collaborative with the Agency's Messaging/Unified Communications Team for the successful implementation is this practice. Notably, the volume of cellphone text message is negligible in size, resulting in a miniscule number of files.

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

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

☒ Yes
☐ No
☐ Do not know

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

The Missile Defense Agency's official records repository utilizes the Open Text Content Server 22.2 Tool. The Records Program Team is working to maximize the usage of new/enhanced features within the Open Text Software that would enhance auto-scheduling and tagging. Additionally, the Agency is implementing an additional tool, Data Loss Prevention that would utilize auto-categorization and metadata tagging as part of its artificial intelligence efforts.

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

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

☒ Yes
☐ No
☐ Do not know

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

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.

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

☐ Yes
☒ No
☐ Do not know

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

No, there are no special requests for policy or guidance at this time.

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☐ Yes
☒ No
☐ Do not know

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

No, there are no suggestions for improvement at this time.

APPENDIX F-12

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 (OMB) and NARA issued a memorandum, Transition to Electronic Records (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines. On December 23, 2022, OMB and NARA issued a new memorandum, Update to Transition to Electronic Records (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- Select the name of the applicable DoD Component from the dropdown list for the first page and the footer.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- In your answer, please use Arial font in size 11 with black font color.
- 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: Mr. Ervin Rivera
- Position title: Agency Records Officer
- Address: 111 S. George Mason Dr. Arlington, VA 2220

Note: The responses below are only reflective of the National Guard Bureau Joint Staff. The Army and Air Guard are included in their Services response.

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

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

   All business processes currently remain the same since the COVID-19 pandemic.

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

   DoD Note: Please respond for your DoD Component. DoD SAORM will provide input for the DoD level.

   ☐ Yes
   ☒ No
   ☐ Do not know

   NGB is taking action, however, the organization is currently under a "Do not Destroy Order". NGB is working to complete the records schedule for approval by NARA.

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

   ☒ Yes
   ☐ No
   ☐ Do not know

   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.

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

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

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.

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

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

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

    ☒ Yes
    ☐ No
    ☐ Do not know

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. However, gaps remain in the implementation and enforcement of these policies across the organization.

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

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

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

☐ Yes
☐ No
☒ Do not know

NGB had developed policies, but is not able to fully implement procedures, due to our dependence on DISA and DA enterprise software applications. Since NGB does not host the data for MS Teams or MS Outlook we have limited ability to ensure the preservation of electronic messages and mail independently.

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

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

☐ Yes
☒ No
☐ Do not know

NGB does not currently have anything in place for cognitive technologies.

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

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

☐ Yes
☒ No
☐ Do not know

NGB has established a training program to educate and train staff on its compliance with statues and regulations in records management. As the staff has become trained, then we will be better able to assess the effectiveness.

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

☒ Yes
☐ No
☐ Do not know

The specific policy that is needed from NARA would be mandating training courses and certificate for RIM specialist who are operating daily in records management.

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☒ Yes
☐ No
☐ Do not know

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.

Engagement with DISA in communicating policy and guidelines that will enhance the records management moving forward.