



CHIEF INFORMATION OFFICER

DEPARTMENT OF DEFENSE

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WASHINGTON, D.C. 20301-6000

MAY 17 2019

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

Dear Mr. Brewer:

As requested in your March 11, 2019 correspondence, please find the enclosed Department of Defense (DoD) Senior Agency Official for Records Management 2018 Annual Report. The report documents the Department's progress towards the successful implementation of the *Office of Management and Budget/National Archives and Records Administration (NARA) Managing Government Records Directive (M-12-18)*.

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

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

Sincerely,

A handwritten signature in blue ink that reads "Bonnie M. Hammersley".

Bonnie M. Hammersley
Senior Agency Official for Records
Management

Enclosure:
As stated

**Department of Defense
Chief Information Officer**



Senior Agency Official for Records Management

2018 Annual Report

16 May 2019

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F11. MISSILE DEFENSE AGENCY

F12. OFFICE OF INSPECTOR GENERAL

F13. NATIONAL GUARD BUREAU

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

Provide the following information (required):

Name of SAORM	Mrs. Bonnie Hammersley
Position title	Deputy CIO for Resources & Analysis
Address	Department of Defense 6000 Defense Pentagon Washington, DC 20301-6000

1. DoD Components Covered by this Report

What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.

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

Given the size of DoD and the number of Components with diverse missions, the strategies and solutions for meeting the goals of the *Office of Management and Budget/National Archives and Records Administration (NARA) Managing Government Records Directive (M-12-18)* may differ and implementation progress may be at different points. To best report this to NARA, responses in this report provide the DoD-wide perspective as well as specific responses for DoD Components when applicable. In addition, each detailed response from reporting DoD Components is included in the appendices.

This report covers all Components of the DoD with the exception of the Intelligence Component, which report separately through their own SAORMs. These Intelligence Component are the Defense Intelligence Agency, National Geospatial-Intelligence Agency, National Reconnaissance Office, and National Security Agency.

There are been a number of changes to DoD records governance:

- The Department of the Navy (DON) has moved its SAORM responsibility to the Assistant for Administration with a delegate from the US Marine Corps staff.
- The US Cyber Command (USCYBERCOM) has been established and is overseen by the Office of the Chairman of the Joint Chiefs of Staff (OCJCS) SAORM.
- Though the governance has not changed, this report includes specific inputs for six Components overseen by the OSD SOARM, which previously had not been broken out for reporting purposes.

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

Component SAORM	DoD Components Covered
Ms. Kathleen S. Miller Administrative Assistant to the Secretary of the Army	Dept of Army
Mr. William O'Donnell DON Asst for Admin LtGen Michael Dana Director, Marine Corps Staff, Delegate	Dept of Navy and US Marine Corps
Mr. Arthur G. Hatcher, Jr. Associate Deputy Chief Information Officer	Dept of Air Force
Mrs. Bonnie Hammersley SAORM and Deputy CIO for Resources and Analysis	Army and Air Force Exchange Services
	Defense Commissary Agency
	Defense Contract Audit Agency
	Defense Contract Management Agency
	Defense Finance and Accounting Service
	Defense Information Systems Agency
	Defense Logistics Agency
	Defense Security Service
	Defense Technical Information Center
	Defense Threat Reduction Agency
	Missile Defense Agency
	DoD Office of Inspector General
National Guard Bureau	

Component SAORM	DoD Components Covered
Major General Glen D. VanHerck, USAF Vice Director, Joint Staff	Office of the Chairman of the Joint Chiefs of Staff
	National Defense University
	North American Aerospace Defense Command and US Northern Command
	US Africa Command
	US Central Command
	US Cyber Command
	US European Command
	US Indo-Pacific Command
	US Southern Command
	US Special Operations Command
US Strategic Command	
US Transportation Command	
Ms. Karen Finnegan Meyers, Director, Executive Services Division/ WHS	Office of the Secretary of Defense
	Defense Advanced Research Projects Agency
	Defense Media Activity
	Defense Office of Hearings and Appeals
	Health Affairs and Defense Health Agency
	Office of Economic Adjustment
	Uniformed Services University of the Health Sciences

2. Management of Permanent Electronic Records

Is your agency and its components making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)

Yes

No

All DoD Components are making progress toward meeting the deadline to manage all permanent electronic records in electronic format with the exception of the National Guard Bureau (NGB). In many cases, DoD Components have acquired or are in the process of acquiring systems for this purpose. Based on findings from the recent NARA inspection of NGB, NGB has decided to adopt the Army National Guard's electronic solution for use at the NGB Joint Staff.

As an enterprise, DoD is in the process of acquiring an enterprise desktop solution that will include records management capabilities. This solution will provide the capability to electronically manage electronic records created through desktop applications such as word processing, spreadsheets, video conferencing, and messaging. For discussion of progress by specific Components, please refer to the appendices.

3. Alignment to NARA's Success Criteria

Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?

Yes

No

All DoD Components have implemented a plan that aligns to the criteria for successfully managing permanent electronic records with the exception of the National Defense University (NDU), USCYBERCOM, US Special Operations Command (USSOCOM), Defense Contract Management Agency (DCMA), Defense Technical Information Center (DTIC), and NGB:

- NDU is making plans to acquire a compliant RM system and are using shared drives and SharePoint in the interim.
- USCYBERCOM is in the beginning stages of aligning to the criteria.
- USSOCOM is undergoing a long-term effort and will incorporate this requirement into the new custom developed system.
- DCMA has remaining challenges in digitization and does not have plans to purchase equipment. Staff has been directed to scan hardcopy records and apply appropriate metadata.
- DTIC is evaluating solutions but does not have plans at this time.

- NGB's first priority is to stand-up a compliant program for the NGB Joint Staff. Electronic records management requirements will follow.

4. Progress Toward Complying with NARA's Transition to Electronic Environment

As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:

Transition to Electronic Environment: *Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.*

Yes

No

All DoD Components are taking steps to enable them to comply with the December 31, 2022 deadline when NARA will no longer accept paper records with the exception of the Army and Air Force Exchange Services (AAFES), DTIC, and NGB:

- AAFES is focused on meeting the 2019 deadline for electronically managing electronic permanent records.
- DTIC does not have plans at this time. The DTIC records schedule does not currently identify records to be transferred to NARA.
- NGB's first priority is to stand-up a compliant program for the NGB Joint Staff. Electronic records management requirements will follow.

5. Use of General Services Administration's Schedule 36

Is your agency utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

Yes

No

While some DoD Components do not have a need for additional solutions available through the General Service Administration's Schedule 36 at this time, a number of DoD Components have utilized this schedule. DoD and its Components will consider options from Schedule 36 as needs surface in the future. Here is a summary of those DoD Components who are utilizing the schedule and information from their responses:

DoD Component	Use of Schedule 36
Dept of Army	Examples of use include digitization services and document solutions.
Dept of Navy, US Marine Corps	All procurement actions follow all acquisition policies and regulations.
US Central Command	Currently utilizes CM as our approved ERMA.
US Cyber Command	No additional information
US European Command	Gimmal was implemented in 2017.
US Strategic Command	Personnel have the ability to digitize hard copy records with assistance from Multi-Function Devices and file those records in the Commands repository known as Hewlett Packard Enterprise Records Manager.
US Transportation Command	A tool is being procured to be able to forward electronic records to NARA.
Office of the Secretary of Defense	Approach includes assistance from a contractor (a Schedule 36 vendor).
Army and Air Force Exchange Services	GSA 36-51 600 was used in the selection of our Records Management Solution.
Defense Commissary Agency	Selected solution for refresh has been added to the Schedule 36.
Defense Finance and Accounting Service	No additional information

6. Informing Senior Officials of Their RM Responsibilities

Have you, as the SAORM, established or improved your agency procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

- Yes
- Changes were unnecessary
- No, changes are being considered but have not been made

No

At the DoD level, DoDI 5015.02 codifies DoD policy that senior leaders must be advised of their RM responsibilities within 30 days of assumption of their duties. Further, it is policy that out-briefings must be provided to senior leaders to ensure capture of the records generated during their tenure. All DoD Components have ensured that senior officials receive briefings on their RM responsibilities or are considering changes with the exception of USCYBERCOM. USCYBERCOM has identified the requirement as in process.

7. Support and Resources for DoD's RM Program

Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))

Yes

No

In August of 2017, the DoD Instruction 5015.02, *Records Management Program* (DoDI 5015.02) was updated to reflect both changes in statute and emerging challenges. DoDI 5015.02 applies to the entire Department and delegates responsibility for implementing that policy to DoD Component Heads. While the DoD SAORM and the DoD Records Officer (DoD RO) provide strategic direction to the entire Department, it is the responsibility of Component Heads to ensure the program is resourced and supported to be successful.

In the case of OSD, OCJCS, and the three Military Departments, Component SAORMs have been designated to provide further direction and address resources for these large and complex organizations. All of these leaders have policies in place and advocate for the financial, personnel, and technological resources necessary to ensure RM responsibilities are being met. Additionally, each has a designated office to oversee RM and acts on their behalf.

The SAORM provides strategic direction to the 13 Independent Agencies. To support this responsibility, the DoD RO has initiated monthly meetings with the leadership of these programs to provide updates, address challenges, and share best practices. In addition, the DoD RO is working with the AROs to identify senior RM leadership in their organization and establish regular communications.

With the governance in codified in 2017, there are some Components that have identified a further need for support or resources to be successful. These Components are North American Aerospace Defense Command and US Northern Command, USCYBERCOM, US Indo-Pacific Command (USINDOPACOM), US Southern Command (USSOUTHCOM), OSD, Defense Security Services (DSS), and DTIC.

8. Roles-Based RM Training Program

Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))

Yes

No

All DoD Components have implemented a roles-based records management training program with the exception of USCYBERCOM, USINDOPACOM, USSOUTHCOM, AAFES, Defense Commissary Agency (DeCA), DCMA, Defense Logistics Agency (DLA) and NGB:

- USCYBERCOM role-based RM training is under development.
- USINDOPACOM has implemented annual computer based training theater-wide that covers recordkeeping responsibilities for all staff.
- USSOUTHCOM is working on annual training material.
- AAFES currently has one-time mandatory training for Records Liaison Officers and one-time mandatory training for email management. Role-based training that includes all requirements is under development to be finalized in 2019.
- DeCA has implemented training for all staff relating to their recordkeeping responsibilities. Additional role-based training has been delayed due to funding.
- DCMA RM training is currently under development.
- DLA has in-depth training applying to all employees. Role-based training will be tailored to meet the requirement.
- NGB is working to stand up the RM program specifically for the Joint Staff. Incoming staff RM briefings have been established. Full compliance with the requirement is intended to be achieved by December 31, 2020.

9. Steps Toward Evaluation or Auditing Process

Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?

Yes

No

All DoD Components have taken steps in directing and supporting RM staff in implementing an evaluation or auditing process with the exception of USSOCOM and DCMA:

- USSOCOM auditing is not being accomplished. The RM Directive requires updating to make sure this is addressed.

- DCMA has done some auditing but additional auditing is needed at other levels of the agency.

10. Support from NARA to Ensure the Transition to Fully Electronic RM

Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

Yes

No

The DoD continues to make progress on the transition to electronic recordkeeping. The road has many challenges, and the DoD appreciates NARA's continued support and innovations to aiding the government in making this transition. In the appendices of this report, please find many specific ideas of how NARA might support DoD and other government agencies in the transition. Here is a synthesis of some of the themes suggested by several DoD Components:

Provide guidance for emerging forms of electronic records

As NARA provided with the Capstone approach to email, DoD Components would benefit from NARA guidance in emerging forms of electronic records including social media, electronic messaging, and cloud computing. When developing this guidance, however, DoD recommends that Components with large scale programs be engaged to make sure technical feasibility and infrastructure needs be considered.

Streamline approvals for schedule and digitization processes

Several DoD Components have identified bottlenecks in approval processes from NARA as impacting their timeframes in moving to electronic records environments. Digitization guidance and processing approvals might be examined for streamlining opportunities. Self-certification of temporary record dispositions is suggested for consideration. Quick turnaround for schedule approval processes would improve the DoD transition to electronic recordkeeping.

Find mechanisms to enforce the transition to electronic recordkeeping

The DoD would like NARA to explore ways to enforce RM and hold government agencies accountable in the electronic records world. More explicit compliance policy, possible through the RM regulations, may help agencies to prioritize investments in electronic recordkeeping technology. Advances could be achieved by NARA working with the Federal CIOs, Inspector Generals and OMB to change the vast misconception that federal records are the hardcopy or final signed report; the lack of planning for long term record preservation and ad hoc decommissioning of information systems without taking into consideration the lifecycle of the information.

APPENDIX A

DEPARTMENT OF THE ARMY COMPONENT
SAORM REPORT

*Senior Agency Official for Records Management
2018 Annual Report
DoD Component Input from **United States Army***

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2018.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Kathleen S. Miller
- Position title: Administrative Assistant to the Secretary of the Army
- Address: 101 Army Pentagon, Washington D.C., 20310-0101
- Office telephone number: 703-545-0561
- Email: kathleen.s.miller.civ@mail.mil

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

2. **Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- Yes
- No

Currently, the Army uses the Army Records Information System (ARIMS), which is a 5015.2-compliant semiautomated records management solution. Army records management policy (Army Regulation (AR) 25-400-2 (The Army Records Information Management Systems (ARIMS)) and Department of the Army Pamphlet (DA PAM) 25-403 (Guide to Recordkeeping in the Army)) have been updated to include the

management of electronic records, which incorporates program elements necessary to meet the management of permanent electronic records. Army policy prescribes that electronic records are retained and accessible as long as needed, including provisions for transferring copies of records that includes an index to the National Archives. Additionally, U.S. Army Materiel Command is exploring artificial intelligence prototypes as a records management process to be integrated with our existing records management application. The future of records management is machine learning, which will replace any repetitive processes with established variables. The Records Management System will be specifically designed to give Army stakeholders three mission-critical capabilities: an accessible, secure, and scalable role-based data platform; records process automation; and machine-assisted record categorization and search.

3. Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?

- Yes
 No

Less than 1 percent of Army records designated as permanent are created in hardcopy or analog format. AR 25-400-2 provides explicit guidance for the digitization of all hardcopy records. AR 25-400-2 and DA PAM 25-403 provides the framework for selecting, cataloging, digitizing, storing digitally, and providing electronic access to permanent records. Items selected for digitization must fall within the scope of preserving permanent records for eventual transfer to the National Archives and Records Administration.

4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

- Yes

No

The Army has created an environment that has greatly reduced the use of paper. For more than 15 years, the majority of Army documents—except for fillable textual forms—have been and remain born digitally. With the progression of technology, the Army has ushered forms management into the digital age. Less than 1 percent of Army records require textual storage. This media includes, but are not limited to, those records that require a raised seal and/or wet signatures. All legacy documents (both long-term temporary and permanent) that are no longer needed for active business use will be forwarded to a Federal Records Center for long-term storage before the 2019 and 2022 deadlines. Records such as textual records from the Intelligence Community that require 50-year onsite storage (those records approximately created from 1972 to 1985) will be digitized before the request for acceptance. Additionally, all electronic recordkeeping systems are currently scheduled as stand-alone system with the ability to manage records throughout their approved life cycles, including digital transfer to the National Archives.

5. Is your DoD Component utilizing [General Service Administration’s Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

Yes

No

When applicable, the Army uses those services offered by GSA Supply Schedule 36. For example, two digitization efforts are currently underway. U.S. Army Human Resources Command and U.S. Army Medical Command, in conjunction with the U.S. Department of Veterans Affairs, are digitizing the Official Military Personnel Folder and service treatment records. Other Army entities use the Defense Logistics Agency for the same office and document solutions services GSA Supply Schedule 36 offers. These items include, but are not limited to, document scanning, tracking and inventory, pickup, delivery and chain of custody, optical character recognition, data entry, disaster recovery, etc.

6. Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

- Yes
- Changes were unnecessary (click [here](#) for your agency's 2017 report)
- No, changes are being considered but have not been made
- No

As part of the Army's onboarding process, senior officials are briefed on their records/email management responsibilities and receive all applicable records and email management policies issued by the Political Transition Team in the Office of the Administrative Assistant to the Secretary of the Army.

7. Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))

- Yes
- No

The Records Management and Declassification Agency (RMDA) is specifically designated to provide policy and program oversight for Army records management. RMDA's mission includes, but is not limited to, monitoring and advising the SAORM of the records management mission according to the size and structure of the agency; information resources, including any electronic information systems, that affect the management and preservation of records; and all risks associated with the management of information, including the volume and format of all mission-related records. As my appointed designee, RMDA advocates on my behalf for the financial, personnel, and technological resources necessary to ensure adequate and proper documentation of the organizations, functions, policies, decisions, procedures, and essential transactions is preserved and usable for as long as necessary to protect the legal and financial rights of the U.S. Army, Department of Defense, and any persons directly affected by the agency's activities.

8. Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))

- Yes
- No

To comply with both NARA Bulletin 2017-0 (Agency Records Management Training Requirements) and DoD Reaffirmation of Guidance for Records Management Training, the Army has implemented the following mandatory training requirements: Records Management Awareness Training for Everyone as well as a Records Management Training Course for appointed records management officials (RMOs). The below mentioned training is currently available to all applicable personnel. However, the Army is currently implementing a training requirement for records management. RMDA, in consult with the Chief Information Officer/G-6 and Army Deputy Chief of Staff, G-3/5/7 (G-37 Collective Training Directorate), will determine the best course of action for course alignment, tracking, and accountability.

a. We are planning an onboarding process for all Army personnel (military, civilian, and contractor) where individuals must log in to the Army Learning Management System and register for the “Records Management Awareness Training for Everyone.” This one-time requirement will coincide with the training needed for network access. A certificate of completion will be issued and maintained to fulfill the mandatory training requirement.

b. Upon appointment, all RMOs (records administrator, records manager, and records coordinator) must also register for the “Records Management Training Course,” which includes two modules. In addition to instruction on the proper use of the Army Records Information Management System (ARIMS), a role-based system intended to provide authorized RMOs with a web-based tool and the technology needed to manage all official Army records regardless of media, this course will provide RMOs with a comprehensive overview of managing by performing practical task-oriented, hands-on exercises. The instruction focuses on using records management as a tool for supporting the Army’s business processes. Upon completion, participants will have the information and skills necessary to perform their records management duties more efficiently and effectively. A certificate of completion will be issued to fulfill the mandatory training requirement.

9. Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?

Yes

No

Army records management policy (AR 25-400-2 and DA PAM 25-403) have been updated to include both direction and support for records management staff. The Army Records Officer, on behalf of the SAORM/Archivist of the Army, will:

a. *collaborate with other Army components and NARA to execute the Army Records and Information Management Program.*

b. *coordinate with Army proponents to ensure all Army information systems incorporate records management functionality appropriate to the records and information assets they support.*

c. *direct a staff of records management professionals responsible for the implementation of the records and information management program.*

d. *ensure Army records management personnel are knowledgeable about and kept current on records management principles and requirements.*

e. *lead the transformation of Army records management processes to address the challenges posed by electronic records.*

f. *oversee the implementation and revisions of the policies and guidance for records management.*

g. *plan, organize, direct, review, coordinate, and establish controls for all Army records management activities.*

h. *schedule and conduct Armywide records and information management inspections and assessments to identify strengths and weakness of the program in accordance with AR 1-201 (Army Inspection Policy).*

10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

Yes

No

More responsive support for records disposition scheduling, specifically, the amount of time it takes to process submissions for record retention schedules.

APPENDIX B

DEPARTMENT OF THE NAVY COMPONENT
SAORM REPORT

*Senior Agency Official for Records Management
2018 Annual Report
DoD Component Input from Department of the Navy*

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

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- 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):

- DON SAORM: William O'Donnell
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Washington, DC 20350
Office number: (703) 692-6094
- Delegate SAO (USMC): LtGen Michael Dana
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Address: 3000 Marine Corps Pentagon
Washington, DC 20350
Office number: (703) 693-1970

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

2. **Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- Yes
- No

Please explain your response: For task and records management, the DON has transitioned to a system named Department of the Navy Tasking, Records, and Consolidated Knowledge Enterprise Repository (DON TRACKER). Although the system is in use, implementation and development efforts are ongoing. DON TRACKER will be the DON repository for electronic records.

DON records management training was put on pause while the Navy and Marine Corps considered an alternate records management solution (Micro Focus Content Manager) as Hewlett Packard Records Manager (HPRM) is currently in use within the Navy and it appeared upgrades to the solution to include Capstone email capture and web enabled products should be considered. Following a decision on which solution will be best for the DON, the DON will begin RM training. In the interim the Navy and Marine Corps will continue to use DON TRACKER and the Secretariat and the Navy will continue to use HPRM for records storage and management. The Marine Corps also has a SharePoint-based configuration called Marine Corps Tool for Information Lifecycle Management (MCTILM). MCTILM employs a tailored command file plan and has been incorporated into the Marine Corps Enterprise Information Technology Services (MCEITS) portfolio for individual command use.

3. Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?

- Yes
 No

Please explain your response: Yes, the DON has implemented a plan that aligns to the criteria and requirements published by NARA in its Criteria for Successfully Managing Permanent Electronic Records. The DON is publishing in its agency-wide policies the requirements of the Federal Records Act, 36 CFR Chapter XII Subchapters B, and other relevant guidance issued by NARA and OMB. Training is available to all those personnel who create, receive, access or use Federal Records. The training identifies what their records management responsibilities are.

The DON has automated electronic record keeping within its electronic records management systems. The DON has ensured that IT system developers consider records management requirements throughout the systems development process. Each system is documented within Department of Defense Information Technology Portfolio Repository-Department of Navy (DITPR-DON) and the applicable records disposition schedule is applied to each system. Additionally, the DON has ensured that permanent electronic records are protected against unauthorized access, use, alteration, alienation, or deletion and are searchable, retrievable, and usable for as long as they are maintained within the custody of the DON.

The DON has recently updated all of its records disposition schedules and all have been approved by NARA. The DON has successfully completed transfers of permanent electronic records to NARA in acceptable formats and with appropriate metadata.

4. **As included in the Administration’s [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

The Reform Plan states:

Transition to Electronic Environment: *Transition Federal agencies’ business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration’s acceptance of paper records by December 31, 2022. This would improve agencies’ efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.*

Yes

No

Please explain your response (include specific goals and example metrics): The DON is in the process of developing a Request for Proposal for alternate records storage solutions for paper records that must be maintained beyond December 31, 2022. In addition, the DON has identified permanent records that can be scanned and converted to electronic format. For the past 2 years the Department of the Navy/Assistant for Administration (DON/AA) Directives & Records Management Division (DRMD) declassification program support services contract included digitization of permanent hard copy records. To date, one million pages have been converted to digital format. The program meets established National Archives guidelines for electronic record preservation.

The Marine Corps has worked with the Declassification Program support services hosted by DON/AA DRMD and also offers bulk scanning capability for hard copy to electronic record format.

5. **Is your DoD Component utilizing [General Service Administration’s Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?**

Yes

No

Please explain your response: All procurement actions are processed through contracts management offices and follow all acquisition policies and regulations.

6. Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

- Yes
- Changes were unnecessary (click [here](#) for your agency's 2017 report)
- No, changes are being considered but have not been made
- No

Please explain your response: The same procedures as outlined in the DON 2017 report remain in place.

7. Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))

- Yes
- No

Please explain your response: The SAORM has ensured that support and resources are available for the Navy and Secretariat records management program. Funding has been provided for electronic records keeping systems (HPRM and DON TRACKER) used within the Navy and Marine Corps. In addition, funding has been provided for the storage and maintenance at Federal Records Centers and for additional storage facilities after December 31, 2022 when NARA will no longer accept paper records. In addition, contracts have been funded to provide necessary personnel support. Marine Corps contracts continue to be funded via current year deficiencies (CYD) and are solely dependent on the availability of CYD funds.

8. Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))

- Yes

No

Please explain your response: The SAORM for OSD provided a pamphlet that can be tailored for use within the DON to provide guidance to all personnel who create and use records regarding their records management responsibilities. In addition, all personnel within the DON have access to records management training via a mobile application at the Apple Store or Google Play. These tools are for all personnel who use records. More detailed training is provided for personnel who have more dedicated records management roles, such as placing holds on records, destroying temporary records when eligible and transferring permanent records to the National Archives and Records Administration when eligible for transfer.

9. Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?

Yes

No

Please explain your response: The Navy and Marine Corps records management office joins their respective Inspector General teams on inspections of command records management programs. Each office has developed a checklist and provides personnel to travel with the Inspector General team to inspect the records management programs at each command and provide feedback and assistance to the commands which were inspected.

10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

Yes

No

Please explain your response: The DON recommends that NARA fully engage with all of the Services to identify existing resources and technical capabilities and explore challenges and solutions prior to publishing policy. For example, the DON is not resourced, nor does it have the necessary infrastructure to capture temporary email for users other than Senior Capstone Officials. Policy requiring retention of texts and electronic chats would require a third party agreement that may not be attainable. By increasing engagement with the Services, NARA would better understand their resource limitations and could devise more feasible solutions.

APPENDIX C

DEPARTMENT OF THE AIR FORCE
COMPONENT SAORM REPORT

*Senior Agency Official for Records Management
2018 Annual Report
DoD Component Input from Air Force*

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2018.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

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

- 1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

- 2. Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- Yes
 No

Please explain your response:

Currently, the Air Force uses dedicated shared network drives for the management of unstructured electronic records, including permanent electronic records, across the Air Force enterprise. In addition, some Air Force IT systems are electronic recordkeeping systems which contain permanent electronic records. Also, the Air Force has initiated

pilot programs to determine the feasibility of using Microsoft Office 365 and SharePoint capabilities for electronic records management as part of its Cloud Hosted Enterprise Services (CHES). The Air Force is also working towards implementing an automation solution via the Defense Enterprise Office Solution (DEOS) initiative. In conjunction with the Air Force Chief Technical Officer, the Air Force provided its requirements for an automated Information Management Application to the Defense Information Systems Agency (DISA) for the DEOS initiative, which were incorporated into the DEOS system requirements and published in the draft Request for Proposal.

3. **Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

- Yes
 No

Please explain your response:

Per the NARA criteria, to successfully manage permanent electronic records, agencies must address four key aspects of records management:

- (1) Have effective **policies**, which fully explain how to manage permanent electronic records and what training programs are established to educate staff on their responsibilities for managing all electronic records Air Force Manual 33-363, *Management of Records*, and Air Force Instruction 33-364, *Records Disposition – Procedures and Responsibilities*, provides guidance on managing electronic records. Air Force Records Professionals receive role-based training, and Air Force members receive local Records Management training.
- (2) **Have systems** whereby IT systems developers consider records management requirements throughout the systems development process, thus systems and business processes support the automated management of trustworthy permanent electronic records over time in accordance with all applicable requirements. Through the Air Force IT portfolio management process, IT Program Managers respond to records management questions concerning the records data in their respective IT system. IT Program Managers are encouraged to work with their local Records Professionals, especially in locating appropriate records retentions in the Air Force Records Disposition Schedule to dispose the records data legally, in particular, those to be eventually accessioned to the National Archives. For unstructured electronic records (for example, Microsoft Word documents, Microsoft PowerPoint presentations, Adobe PDF forms), the current Electronic Records Management solution is to store the electronic records in inventories of records (file plans) on dedicated shared network drives, which are managed and disposed under the direction of the Commander and the Records Professionals.
- (3) The ability to provide **access** to the records whereby permanent electronic records are protected against unauthorized access, use, alteration, alienation, or deletion; and are

searchable, retrievable, and usable for as long as they are maintained in agency custody.

IT Program Managers ensure their respective IT system meet cybersecurity requirements while using role-based access and access control. Access controls are also used for inventories of records overseen by Commanders and Records Professionals.

- (4) The ability to execute **disposition whereby** NARA approved records schedules are being adhered with successful completion of transfers of permanent electronic records to NARA in acceptable formats and with the appropriate metadata. IT Program Managers are required to cite and execute a National Archives-approved records disposition to dispose legally the records data in their respective IT system. Commanders and Records Professionals enforce the disposition of electronic records in the dedicated shared network drive in accordance with the legally approved records disposition.

4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

- Yes
 No

Please explain your response (include specific goals and example metrics):

The Air Force is exploring various courses of actions on the way ahead of base staging facilities in light of the 2022 deadline. Base staging areas hold inactive analog records; records with a legal retention of more than eight years are to be shipped to the National Archives-operated Federal Records Centers per Air Force Instruction 33-364, *Records Disposition – Procedures and Responsibilities*. The Air Force plans to ship eligible hardcopy records to the Federal Records Centers where it makes economic sense (for example, the cost of the final disposal of the hardcopy records is less than the cost of the initial shipment and the subsequent storage of the records at the Federal Records Center).

5. Is your DoD Component utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

Yes

No

Please explain your response:

The Air Force has yet to deploy an Air Force-enterprise electronic management solution. In the interim, the Air Force has current pilots with Microsoft Office 365 and SharePoint of which NARA's Universal Electronic Records Management (ERM) Requirements were provided to the Cloud Hosted Enterprise Services (CHES) team.

6. Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

**Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.*

Yes

Changes were unnecessary (click [here](#) for your agency's 2017 report)

No, changes are being considered but have not been made

No

Please explain your response:

The Headquarters Air Force (HAF) Records Management Office published an Air Force Guidance Memorandum to Headquarters Operating Instruction 33-17, *Headquarters Air Force Records Management Program*, and *Headquarters Air Force Records Management Plan* as the formal guidance documenting the process regarding incoming and outgoing Senior Executive Service members, Presidential Appointees and all General Officers assigned to the Air Staff and Secretariat. Senior leaders receive initial and annual training on Records Management responsibilities, including recordkeeping requirements of social media records and e-mail (Capstone email preservation approach). Retiring or separating senior leaders sign a Records Management memorandum, acknowledging their receipt of the Records Management briefing prior to departing the Department of the Air Force.

7. **Has your DoD Component ensured that your records management program has the support and resources it needs to be successful?** (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))

Yes
 No

Please explain your response:

During March-June 2018, the Air Force Senior Agency Official for Records Management (SAORM) sponsored four workshops with representatives from Air Force functional organizations to reduce, simplify and group existing Air Force records retentions. In December 2018, the Air Force SAORM signed the Air Force Records Management Strategic Plan. In 2018 the Air Force Deputy Chief Information Officer (CIO) reminding all Commanders of their legal responsibilities for records management. Highly interested in the status of the Air Force Records Management program, the Air Force SAORM conducted Monthly Compliance Meetings throughout 2018.

8. **Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees?** (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))

Yes
 No

Please explain your response:

Air Force Records Professionals such as Base Records Managers and Command/Agency Records Managers receive annual role-based training via the Advanced Distributed Learning Service (ADLS). Commanders also receive training. All Air Force members receive local Records Management training.

9. **Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

Yes
 No

Please explain your response:

To discover efficiencies and strengths, and to identify and mitigate deficiencies or weaknesses, the Air Force has a Management Internal Control Toolset for self-assessment on major Air Force Records Management requirements by Base Records Managers and Commanders to be updated when changes occur. Tracked in the Air Force

Records Information System, Staff Assistance Visits are conducted on units every two years. Tracked in the Inspector General Evaluation Management System, the Wing conducts periodic inspections on the base records management program.

10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

- Yes
 No

Please explain your response:

NARA's support will be critical in ensuring a successful transition to a strictly electronic management/delivery platform because it provides overall Federal Records Management oversight. In 2013, NARA provided the Capstone approach to manage email, and NARA can provide guidance on managing other forms of electronic records such as social media, electronic messaging, cloud computing. NARA is in a unique position to solicit the support and advice from the vendor community and private sector to help facilitate the process of Federal Agencies transitioning to full electronic recordkeeping, preferably with automation throughout the lifecycle of electronic recorded information. It would be advantageous and desirable to have a NARA solution for electronic recordkeeping in the Federal Government similar to an electronic Federal Records Center. After NARA decides a proposed records disposition does not warrant permanent retention, NARA should consider allowing Federal Agencies to self-certify records dispositions for temporary records in order to expedite the implementation of dispositions in electronic records management solutions.

APPENDIX D

CHAIRMAN OF THE JOINT CHIEFS OF
STAFF COMPONENT SAORM REPORT

APPENDIX D-1

CHAIRMAN OF
THE JOINT CHIEFS OF STAFF

*Senior Agency Official for Records Management
2018 Annual Report
DoD Component Input from **Joint Chief of Staff**
April 12, 2019*

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2017.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- Patricia Capers
- Chief Records Officer (CRO)
- Pentagon RM 2D943 Washington, DC 20318-0400
- 703-697-9777
- patricia.a.capers2.civ@mail.smil.mil

- 1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

- 2. Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- Yes
 No

Please explain your response:

The Chief Records Officer hired an Electronic Records Manager and a Capstone Program Manager. Both positions are laying the foundation to reaching Goal 1.1 of M-12-18.

3. Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?

Yes
 No

Please explain your response: The Capstone Manager and the RO are working with IT J-6, DEE/DISA and the DEOS teams to align the criteria with functionality for systems. The CRO, Essential Records Officer and the Electronic Records Manager have met several times with the leadership of J-6 seeking solutions. The Capstone Manager has begun to meet with the VIP IT team leaders as well. JS is also working on behalf of six Combatant Commands as well.

4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

Yes
 No

Please explain your response (include specific goals and example metrics):

- (1) Joint Staff has identified 36 mission systems
- (2) The Electronic Records Manager and the Essential Records Officer (two new positions) are working together to interview all system owners with a system questionnaire to analyze the data for action.
- (3) The RO is a part of the Data Operations Tiger Team assisting with written instructions on Artificial Intelligence records management, data lake management, and electronic records management.
- (4) The CRO has also enlisted the assistance of the JS Business Process Team and the Knowledge Management team for inclusion of their expertise.

5. Is your DoD Component utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

- Yes
 No

Please explain your response: Joint Staff Acquisitions recently executed a contract to hire Enterprise Architects to work with the Records Management Team on Electronic Records Management. Additionally, the records management specs from NARA and requirements from the CCMDs has been provided to the DEOS 8 billion dollar platform team as well.

6. Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

- Yes
 Changes were unnecessary (click [here](#) for your agency's 2017 report)
 No, changes are being considered but have not been made
 No

Please explain your response: The Chief Records Officer has assigned the program to the Capstone Program Manager and has aligned a military Major and the Electronic Records Officer to brief the senior officials on boarding and off boarding. The CRO personally briefs the SOARM and next year 2019 plans to meet the new Chairman.

7. Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))

- Yes
 No

Please explain your response: While there is more to be socialized among the organization, Joint Staff has invested 20 million in a records repository open source system. The leadership now meets bi weekly with the Colonel to provide status updates that he will move forward upon receiving the requirements and the requests.

8. **Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

Yes
 No

Please explain your response: The CRO assigned the lead role based employee to execute NARA bulletin 2017-01 and has submitted an edited updated version of the agency-wide training within the last three months.

9. **Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

Yes
 No

Please explain your response: The CRO and the Division Director has gone on 5 Staff Assistance Visits in 2018 with a CONOPS and Post Report. The CRO and the Director plan to go on 5 more SAVS in 2019. The CRO is traveling to 4 Commands to be present during the National Archives Oversight Inspection of the JS and the Combatant Commands and will participate in 6 Conference Calls with the other CCMDs. The CRO arranged three NARA meetings, briefed the leadership at Joint Staff and has created a read ahead book with data. The CRO has also filled a three day schedule for interviews across the organization for the NARA inspection team. She has also provided briefings and regular updates to the CCMDs and the JS Liaisons.

10. **Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?**

Yes
 No

Please explain your response: There should be a direct set of actions required of the IT departments. It is a very heavy lift without a NARA, OMB mandate to IT. There should also be clean lines between Data Management, Knowledge Management, Business Process Management and Records Information Management. Data and Records are the only areas mandated by Congress yet the KM and BP staff have been hired at elevated rank and have substantial support at all levels.

APPENDIX D-2

NATIONAL DEFENSE UNIVERSITY

*Senior Agency Official for Records Management
2018 Annual Report
DoD Component Input from **NDU***

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2017.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact - Tonya Barbee
- Position title - Agency Records Officer/MICP Coordinator
- Address – 300 5th Ave; Washington, DC 20319
- Office telephone number – 202-685-3941
- Email – barbeet@ndu.edu

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

2. **Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- Yes
 No

Please explain your response: We are in the process of migrating all electronic permanent records to a shared drive and/or Share Point.

3. Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?

Yes
 No

Please explain your response: We do not have an ERS however we are making plans to acquire a compliant Records Management System in 2020. In the interim, we are organizing our permanent records on shared drives and in Share Point.

4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

Yes
 No

Please explain your response (include specific goals and example metrics): By Dec 2019, we plan to have all permanent records stored electronically on a shared drive. By Dec 20, will have a plan in place to have digitized all paper permanent records.

5. Is your DoD Component utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

Yes
 No

Please explain your response: We have not implemented a strategy to utilize GSA's Schedule 36 at this time.

6. Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

- Yes
- Changes were unnecessary (click [here](#) for your agency's 2017 report)
- No, changes are being considered but have not been made
- No

Please explain your response: Records Management briefings are provided to all incoming personnel during orientation. We have made a concerted effort of ensuring all leaders are briefed of their records management responsibilities to include email management. We will continue to incorporate additional briefings for senior leaders and their supporting staff.

7. **Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

- Yes
- No

Please explain your response:

8. **Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

- Yes
- No

Please explain your response: We have an established training program and 70% of the Records Custodians are fully engaged.

9. **Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

- Yes

No

Please explain your response: We have revised our Records Management Instruction and disseminated throughout the University. New records series and implementation schedules are being developed in the areas of Academics and Research. Academics records are with the Joint Staff being uploaded to ARCIS while Research records are in the draft stage.

10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

Yes

No

Please explain your response: At this time, we will rely on assistance from the Joint Staff leadership in regards to fully electronic recordkeeping.

APPENDIX D-3

NORTH AMERICAN AEROSPACE DEFENSE
COMMAND AND US NORTHERN COMMAND

**Senior Agency Official for Records Management
2018 Annual Report
DoD Component Input from NORAD and USNORTHCOM**

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2017.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- Sandra M. McAfee-Symons
- Command Records manager
- N&NC/CSC, 250 Vandenberg St., Ste B016, Peterson AFB, CO, 80914
- (719 554-3858
- sandra.mcafee-symons.civ@mail.mil

- 1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

- 2. Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

Yes

All NORAD and USNORTHCOM permanent records are managed electronically via the Commands' official record keeping application (HPE CM). Conducted file plan audits to identify all permanent record series and locations. Previously identified one permanent record series (military decoration) that required conversion from paper to electronic copy. No other permanent record series exist in hard-copy format.

3. **Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

Yes

Outside of a few short term (temporary) records series, records management guidance directs all functional/operational and permanent records to be in an electronic format.

4. **As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

Yes

Latest audit of permanent record series did not identify any original hard-copy records being maintained. Published guidance requires permanent records to be in electronic format for accessioning to NARA.

5. **Is your DoD Component utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?**

No

USNORTHCOM already utilizes an electronic records management application that meets DoDI 5015.2-STD

6. **Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?**

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees,

political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

Yes

Listing of senior leaders, by position, is tracked by J1 and validated monthly by the CCMD Top 3. J7 schedules incoming senior personnel to receive an orientation which includes records management. The Command Records Manager (CRM) tailors the brief by providing an overview of RM climate in gaining organization and addresses email/personal records responsibilities. The same senior personnel listing is used by the CRM to schedule the Senior Leader Exit brief. A Command GO/FO level tasker is sent to the organization 60 days from projected departure date to remind/inform senior leader of required action. The CRM provides training to staff on how to complete the checklist, provides an exit briefing, and helpful tip aids. The Senior Leader Exit checklist requires signatures from the RM appointee conducting brief and member certifying actions as being complete.

7. **Has your DoD Component ensured that your records management program has the support and resources it needs to be successful?** (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))

Yes

No

Although program has support from management and is aligned under the Chief of Staff, current records management program function/staff does not have a dedicated budget and must compete with other staff for resources (training, software, travel).

8. **Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees?** (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))

Yes

Training courses/material is based on role. NARA Bulletin 2017-01 requirements were used to develop the mandatory annual training course assigned to all agency members via the learning management system (LMS). Database tracks status, pre-tests, surveys, and feedback is reviewed for possible course improvements. RM appointee training is offered throughout the year. Senior level personnel receive tailored RM orientation briefs.

9. **Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

Yes

Records management is identified as a HQ compliance item. Organizations are inspected by the Command Inspector General (IG) which includes the Command Records Manager (CRM) as a Temporary Assistant IG team member. The CRM also conducts RM staff assistance visits in organizations to identify strengths, weaknesses/potential risks, challenges, and recommended action items for implementation. Audits of permanent records have been initiated to validate content as meeting criteria for accession to NARA.

10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

Yes

Ensure that enterprise solution providers for such services as email and portal provide for automated electronic recordkeeping. For example, DISA as the directed enterprise email provider as well as enterprise portal must provide an electronic recordkeeping methodology/software solution for all users (not just journaling of senior leaders). DoD components have been directed to use DEE and DEPS, yet no electronic record keeping methodology is provided. Likewise, the JWICS solution provided by DIA also does not provide an automated records management solution for e-mail. Furthermore, no feedback mechanism exists from CCMDs to ensure requirements levied upon them to use DoD enterprise service have taken into account records management and the expected actions required.

APPENDIX D-4

UNITED STATES AFRICA COMMAND

**Senior Agency Official for Records Management
2018 Annual Report
DoD Component Input from USAFRICOM**

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2017.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact **Kurt E Hedberg**
- Position title **Command Records Manager**
- Address **USAFRICOM, Stuttgart DE**
- Office telephone number **DSN +49 0711-729-2731**
- Email **kurt.e.hedberg.civ@mail.mil**

- 1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

- 2. Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- Yes
 No

Please explain your response:

[Type here]

3. Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?

- Yes
 No

Please explain your response:

AFRICOM is in the process of procuring a new electronic RM system (ETC is 4th qtr FY19) for Command-wide implementation. The current electronic capture system does not meet the needs of this Command.

4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

- Yes
 No

Please explain your response (include specific goals and example metrics):

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

5. Is your DoD Component utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

- Yes
 No

Please explain your response:

AFRICOM's primary RM directive is the CJCSI 5750.01 A (Vol I & II) which utilizes the GSA schedule as its primary guide.

[Type here]

6. **Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?**

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

- Yes
 Changes were unnecessary (click [here](#) for your agency's 2017 report)
 No, changes are being considered but have not been made
 No

Please explain your response:

All AFRICOM positions for email capture are annotated and emails are automatically journaled and kept on the DISA servers.

7. **Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

- Yes
 No

Please explain your response:

AFRICOM's RM program has its last IG inspection on July of 2017 and will have a NARA SAV in May of 2019. The Command is enthusiastically supportive of and tracks all aspects of the RM program.

8. **Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

- Yes
 No

Please explain your response:

[Type here]

This trng is updated quarterly and utilized for all RM trainings.

9. **Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

- Yes
 No

Please explain your response:

The Command is enthusiastically supportive of and tracks all aspects of the RM program.

10. **Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?**

- Yes
 No

Please explain your response:

I've already utilized NARA assistance in FY18. While I will undoubtedly require NARA assistance in the future, as of today AFRICOM is compliant with the Joint RM directives and guidance.

APPENDIX D-5

UNITED STATES CENTRAL COMMAND

*Senior Agency Official for Records Management
2018 Annual Report
DoD Component Input from United States Central Command (USCENTCOM)*

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2018.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: MAJ Joselito Rodriguez
- Position title: Command Records Manager
- Address: 7115 S. Boudry Blvd, MacDill AFB, FL
- Office telephone number: 813-529-6297
- Email: joselito.rodriguez.mil@mail.smil.mil

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

2. **Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- Yes
 No

Please explain your response:

The USCENTCOM Records Management (RM) team is uniquely positioned within the command (CCJ6) which affords us the ability to support every office of record. The position ensures that we have visibility on the implementation of new systems and

processes within the Head Quarters (HQ) and the Area of Responsibility (AOR) that will impact RM at any level.

From May 2014 through September 2017, USCENTCOM created a Digitization Team to scan, digitize, and catalogue all Permanent and Long Term Temporary (7-10 years) records into Content Manager (CM) during this time, the team was able to digitize over 186,978 records (or 1,800 boxes of physical records) into CM.

In 2017, the USCENTCOM RM Team directed a HQ wide Physical Records Call. Each office that maintained these records were afforded the opportunity to digitize their physical records. The USCENTCOM RM Team has set aside scanners in our Command Records Inactive Storage Facility (CRISF) that are available for the HQ staff to digitize their physical records.

3. **Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

Yes

No

Please explain your response:

CENTCOM Regulation (CCR) 25-50, USCENTCOM RM Program, directs that all Directorates and Special Staff (SS) offices will archive electronic records within the HQ USCENTCOM approved Electronic Records Management Application (ERMA). This system provides the capability of integrating ERM with existing information systems and establishes a records and document management capability for HQ USCENTCOM (e.g., cradle to grave life cycle of a document/record), per Reference (e). The Senior Records Analyst provides ERMA training upon request and assesses each offices use of CM to ensure that all Long Term Temporary and Permanent Records are being captured into the ERMA.

4. **As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by

converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

- Yes
 No

Please explain your response (include specific goals and example metrics):

The USCENTCOM RM Team has implemented several plans to ensure that all Permanent Electronic Records are being managed electronically NLT December 2019. This includes but is not limited to publishing a list of record types assessed to have permanent historical value.

To date, 95% of all paper records at USCENTCOM have been digitized utilizing an ERMA to process, via a records lifecycle approach, secure and manage electronic records. Furthermore, local Staff Assistance Visits (SAVs) are performed in order to identify, categorize and digitize physical records found which are then cataloged into CM. Likewise, SAVs conducted in the AOR also undergo the same process performed at our local sites, however the records captured there are retrograded back to HQ USCENTCOM on a quarterly basis and then cataloged into CM.

5. **Is your DoD Component utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes
 No

Please explain your response:

USCENTCOM currently utilizes CM as our approved ERMA, which assists with storing, retrieving, and the dispositioning of the electronic records maintained in its repository.

6. **Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?**

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees,

political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

Yes

Changes were unnecessary (click [here](#) for your agency's 2017 report)

No, changes are being considered but have not been made

No

Please explain your response:

The requirement to train Senior Officials or Senior Leaders is directed in CCR 25-50. Currently, the CCJ6/CIO oversees the Senior Leader training program for USCENTCOM General Officers, Flag Officers, and Senior Executive Service (GO/FO/SES) personnel.

The USCENTCOM Command Records Manager (CRM) advises Senior Leaders of their RM responsibilities within the first 30 days of assumption of duties, using either the Directorate Records Officers/Records Officers (DRO/RO) or the CCJ6/CIO process. Similarly, all out-briefs are conducted in the same manner as the CCJ6/CIO oversees the process and the CRM ensures it is completed via the DROs/ROs. Upon the Senior Leader's in-brief or out-brief, they will sign a Memorandum for Record (MFR) acknowledging their responsibilities to CCJ6-RDR.

These same Senior Leaders training slides are provided at the Quarterly DRO Workshop to all Joint Task Forces (JTFs), Security Cooperation Organizations (SCOs) and Office of Military Cooperation (OMC) for their implementation.

7. **Has your DoD Component ensured that your records management program has the support and resources it needs to be successful?** (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))

Yes

No

Please explain your response:

CCR 25-50 prescribes administrative instructions and procedural guidance for records maintenance, disposition and management of the Command Records Management (RM) Program that assists the SAORM with performing their duties.

8. **Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees,**

contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))

Yes

No

Please explain your response:

The USCENTCOM RM Team provides RM training that promotes RM principles to all USCENTCOM Directorate/Special Staff personnel with particular emphasis on DROs, SROs, Division Records Officers (DivROs), ROs and File Custodians (FCs), USCENTCOM Forward HQ SCOs and JTFs. Information Awareness (IA) is a mandatory yearly requirement for all USCENTCOM personnel.

During CY18, The RM Team trained 309, 229 trained at the HQ and 80 in the AOR, personnel within the Command and AOR increasing our trained audience by over 40%.

The following RM training is provided by the USCENTCOM RM Team weekly, by request or on a yearly basis:

- RM Indoctrination Training: This is a 20-minute RM introduction brief that is presented to all new employees, emphasizing the importance of RM, on a weekly basis.
- RO/FC RM and CM Training: This training is mandatory and is provided to all appointed ROs/FCs. In some instances, this training may be conducted twice a month or by request and is validated during each RM SAV.
- Computer Based RM Training (CBT): This training is an annual requirement for all USCENTCOM employees.
- Quarterly DRO/RO Training/Workshop: This training/workshop is conducted on a quarterly basis for all ROs and FCs. The workshop allows the discussions of current issues, policy and guidance updates, training opportunities, and upcoming events.

9. Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?

Yes

No

Please explain your response:

To ensure RM compliancy, the CRM monitors and assesses the USCENTCOM's RM program by conducting SAVs to all D/SS, JTF, and SCOs. D/SSs and JTFs are assessed once every 12 months, while SCOs are assessed once every 24 months.

During CY18, CCJ6-RDR Senior Records Analysts conducted 22 on-site RM SAVs. Included at the sites visited were, Directorates/Special Staff (D/SS) offices at the HQ, United States Forces-Afghanistan (x2), Combined Joint Task Force-Operation INHERENT RESOLVE, and six Security Cooperation Offices (SCOs) in Bahrain, Egypt, Kuwait, Oman, Qatar, and UAE.

The USCENTCOM RM Team assessed each D/SS and SCO based on eight criteria that mirrors the lifecycle of records, and then merges those results into an RM stoplight chart. The annual and bi-annual rotation of SAVs throughout the D/SS, as well as the AOR has improved the Command's RM programs. Visits to JTFs have also increased CCJ6-RDR's visibility and accessibility to War Records.

Once each assessment is complete, a written report is provided to the senior leadership of that specific office via the CCJ6 Deputy Director. The report outlines the program status of the office, findings, use of the Commands ERMA, and recommended follow-up items.

All discrepancies are reevaluated within 90 days from the release of the report.

The CRM provides the Chief of Staff (CoS) RM status update via the CoS Roll-up. This provides an overall evaluation of the USCENTCOM RM program. This is a very effective tool as the CoS is able to see which offices of record are in compliance and which are not.

Additionally, when a new information system and or application is being implemented in the USCENTCOM AOR, that organization is required to submit a Governance, Risk, and Compliance (GRC) request form to the CCJ6/CIO for review and approval. This GRC request contains a matrix form that outlines compliance requirements, governance policy, responsible office, if the requirement has been met, any risk of non-compliance, mitigation plan and timeframe, and recommendations to the CCJ6/CIO.

In particular, the CRM validates the following requirements are met for each information system and or application:

- If applicable, the system has a Privacy Impact Assessment
- If applicable, records within the system are properly marked

In most cases, the CRM will contact the owner of these systems (Army, Navy, Air Force, etc.) directly to discuss the RM requirements that must be met prior to receiving the authorization to operate by the CCJ6/CIO. Once the requirements are validated, the CRM provides a recommendation to the CCJ6/CIO, which includes signing or not signing an LOI and any migrating factors that must be considered.

10. Do you need support from NARA to ensure a successful transition to electronic recordkeeping?

Yes

No

Please explain your response:

Enforcement of RM policies and procedures is the largest problem within all agencies. Additionally, NARA should lead an all-federal agency wide effort to establish a more efficient and collaborative way to manage and preserve Senior Leadership electronic mails (E-mails). The current process with Defense Information Systems Agency (DISA) does not allow us to immediately capture and preserve these E-mails into our Command ERMA, nor will it allow us to conduct searches for FOIA and/or litigation requests.

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

APPENDIX D-6

UNITED STATES CYBER COMMAND

*Senior Agency Official for Records Management
2018 Annual Report
DoD Component Input from U.S. Cyber Command*

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2017.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- Ms. Shannon Hueber
- Command Records Officer / U.S. Cyber Command/J010
- Ft. Meade, Maryland
- 443-654-4744
- srhuebe@cybercom.mil

- 1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

- 2. Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- Yes
 No

Please explain your response: U.S. Cyber Command has purchased a product called FEITH where all electronic records will be housed once the system is developed.

3. Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?

- Yes
 No

Please explain your response: U.S. Cyber Command is currently in the beginning stages of developing this criteria.

4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

- Yes
 No

Please explain your response (include specific goals and example metrics): U.S. Cyber Command will develop this process along with the migration process. Estimated completion date will be October 2019.

5. Is your DoD Component utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

- Yes
 No

Please explain your response:

6. Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors

of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

- Yes
- Changes were unnecessary (click [here](#) for your agency's 2017 report)
- No, changes are being considered but have not been made
- No

Please explain your response: This is currently under development.

7. **Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

- Yes
- No

Please explain your response: There is little to no support from the IT team as well as senior leaders. RM has no space to store their records or the manpower to run the program and programs associated with it.

8. **Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

- Yes
- No

Please explain your response: This is currently under development.

9. **Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

- Yes
- No

Please explain your response: U.S. Cyber Command has developed a risk assessment as well as a directorate checklist for the RM program.

10. **Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?**

Yes

No

Please explain your response: There are many issues that we face in this command. Any support from outside of the command would be much appreciated.

APPENDIX D-7

UNITED STATES EUROPEAN COMMAND

**Senior Agency Official for Records Management
2018 Annual Report
DoD Component Input from HQ USEUCOM**

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2017.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- Ms. Tymbika K. Mason
- Command Records Manager
- Address
- DSN 430-4458
- tymbika.k.mason.civ@mail.mil or tymbika.k.mason.civ@mail.smil.mil

- 1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

- 2. Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- Yes
 No

Please explain your response:

EUCOM is steadily pushing for the use of the Command Portal Records Center for all electronic records via NIPR and SIPR to ensure that Records Liaisons and file clerks are able to scan documents and digitize them for their respective directorate.

3. Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?

Yes
 No

Please explain your response:

The disposition codes are built into the Gimmel records system that is designed automate retention schedules for records that are placed within the official records repository.

4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

Yes
 No

Please explain your response (include specific goals and example metrics):

EUCOM is currently tracking between 85-95% of records that are currently electronic. The command is pushing for 100% electronic records to be located within the Command Records Center/official records repository.

5. Is your DoD Component utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

Yes
 No

Please explain your response: The acquisition of the records management system Gimmel was implemented in 2017 prior to my arrival. Records Liaisons and file clerks have been training and utilizing the system since late 2017.

6. Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

- Yes
 Changes were unnecessary (click [here](#) for your agency's 2017 report)
 No, changes are being considered but have not been made
 No

Please explain your response: In this area, the EUCOM RM is working on plans to incorporate records management into the “Newcomer’s Orientation” for senior leaders as well as the newly assigned average users. It will be a senior level driven briefing to outline responsibilities. An approved tri-fold will also be provided as a quick reference tool with the EUCOM RM’s contact information inside.

7. Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))

- Yes
 No

Please explain your response: By implementing the use of the records management system Gimmel, it has aided both the EUCOM RM and the directorate Records Liaisons better manage electronic records and the file clerks at the lower levels (branches, divisions, sections etc.). The automated records disposition helps ensure that records are kept for the correct retention period and greatly reduces the human error factor in official record repository purging. Having a fulltime RM is helpful, however, a dedicated military counterpart would be helpful or a standing rotation of administrative reservist at 4-6 month intervals would greatly add to the RM’s ability to actively assist with outreach and hands-on training in the units or Staff Assisted Visits without the stress of being in a “one-deep” position.

8. Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees,

contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))

- Yes
 No

Please explain your response: The training website containing the training have been provided to the Joint Staff POC (SJS/IMD/RRB) that include email management as one of the focus areas of records management.

9. Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?

- Yes
 No

Please explain your response: Through the use of checklists, SAVs and IG audits we are able to work with Records Liaisons and file clerks to monitor and manage the life cycle of electronic records.

10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

- Yes
 No

Please explain your response: The Gimmel system was brought online in 2017. My predecessor was able to work with the Knowledge Management team to bring the system online and within standards to aid in ensuring that there is an official records repository that can house the electronic records within EUCCOM.

APPENDIX D-8

UNITED STATES INDO-PACIFIC
COMMAND

Senior Agency Official for Records Management
2018 Annual Report
DoD Component Input from USINDOPACOM

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2017.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- Donald C. Gladney
- U.S. Indo-Pacific Command (USINDOPACOM) CRM
- 1 Elrod Rd, Bldg 700 Rm 320, Camp H.M. Smith, 96861
- (808)477-7798
- donald.gladney@pacom.mil

- 1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

- 2. Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- Yes
- No

Please explain your response:

DoD's initiative in creating an enterprise information solution, DEOS, all government agencies will manage permanent electronic records in an approved electronic format which will be mandated in DoD guidance. Although USINDOPACOM continues to

make strides towards achieving this goal, two out of three reporting Agency Records Officer (ARO) billets remain vacant. It may be quite arduous in making further progress in managing all permanent electronic records in electronic format by the date specified under these circumstances.

3. **Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

- Yes
 No

Please explain your response:

USINDOPACOM continues to align objectives in achieving this goal as stated in the 2017 SOARM report. Unfortunately, contract services requisitioned to assist organizations with the identification of permanent records for archival purposes were not performed due to FY19 funding constraints.

However, in one aspect of compliance within HQ USINDOPACOM, both NIPR and SIPR domains possess the capability of scanning paper documents, converting them to digital records via CAC enabled digital network equipment on mostly all printing devices. Personnel can now assist with completing assigned task by converting permanent paper documents into an electronic document, adhering to NARA's enforcement of digital age policies.

4. **As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

- Yes
 No

Please explain your response (include specific goals and example metrics):

The goal of accomplishing this task was started in 2012 after attending the COCOM Conference which focused on M-12-18 requirements and capturing post-war records permanent records and transferring them to the National Archives.

USINDOPACOM funded the 2014 NARA Project that comprised of three post-war organizations. The NARA Project was successful in getting at least two of the three organizations closer to compliance with task.

One organization had four permanent collections that are used daily by staff that dates back as far as the 1950's. This is due in part to the host nation preference of using the source documents when in negotiations. USINDOPACOM proposed professional contract services to assist with the bulk scanning requirements for all four permanent collections, but unfortunately with the current stagnation of funding, this may take some time.

5. Is your DoD Component utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

- Yes
- No

Please explain your response:

DISA and DoD's initiative in acquiring and Enterprise Information System for all of DoD and other government agencies will satisfy this requirement.

6. Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

- Yes
- Changes were unnecessary (click [here](#) for your agency's 2017 report)
- No, changes are being considered but have not been made
- No

Please explain your response:

USINDOPACOM CRM addressed this item with the JS about creating an official senior leadership in-out briefing/checklist template to be deployed to all the COCOMS to alleviate each COCOM having different in and out brief procedures.

7. **Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

- Yes
 No

Please explain your response:

With the responsibility of the largest COCOM, two manpower surveys identify additional manpower resources are required. For nearly ten years, billeted resources were not allocated to support the RM function while other functions without any mandates were billeted with multiple positions. Improper placement, grade level, and supervision within the organizations are all hindering factors in getting the required support warranted in acquiring the necessary resources at both the command and agency levels.

8. **Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

- Yes
 No

Please explain your response:

USINDOPACOM instituted a computer based training module theater-wider that covers recordkeeping responsibilities for all staff that must be taken annually. At HQ USINDOPACOM, newcomer's orientation (ISTOP), a mandatory three-day course, offer members with a variety of key topics to include an RM briefing and tri-fold citing key information on the mission, goals and objectives.

9. **Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

- Yes
 No

Please explain your response:

Documentation is available to show that all USINDOPACOM organizations have been assisted by staff assistance visits and inspections, but some organizations still remain in a non-compliant status. The constant common denominator is the absence of RM resources.

10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

Yes

No

Please explain your response:

Create policies with stronger enforcement verbiage that will be effective in supporting resourcing agencies properly to support the Federal Records Act and carry out NARA tasks.

Provide information in NARA's policy directive on proper placement and supervision of RM billets within organizations. This important managerial aspect should not be left up to interpretation at the organizational level because often times, RM billets are moved without coordination with the agency functional manager or higher headquarters. This type of behavior has drastically affected the RM program compliance by improper alignment and supervision of RM positions, mission, goals and objectives. If these proposed changes are made, then perhaps, electronic recordkeeping could be performed as discussed within policy.

APPENDIX D-9

UNITED STATES SOUTHERN COMMAND

**Senior Agency Official for Records Management
2018 Annual Report
DoD Component Input from US Southern Command**

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2017.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- Mr. Jose P. Lopez-Vega
- Records and Information Management Specialists
- 9301 NW 33rd St. Doral, FL 33172
- 305-437-2001
- jose.p.lopez.civ@mail.mil

- 1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

- 2. Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- X Yes
 No

Please explain your response:

SOUTHCOM has upgraded its collaborative tool portal to incorporate electronic RM activities in the near future.

Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#)

2. (March 2018)?

- Yes
 No

Please explain your response: SOUTHCOM COS has approved a Data Consolidation project to incorporate meta-tagging of electronic records facilitating records search, disposition and archival in the near future.

4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

- Yes
 No

Please explain your response (include specific goals and example metrics):

1. Goal #1 Enhancement to IT infrastructure
 - a. Metrics: (Complete data crawl of shared drives to eliminate duplicate content and an increase in storage capacity for new content by May 2019).
2. Goal #2 Customization of Collaborative Information System (i.e. SharePoint)
 - a. Metrics: (Enable RM functionality by Aug 2019).

5. Is your DoD Component utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

- Yes
 No

Please explain your response: Not a needed requirement.

6. Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

- Yes
- Changes were unnecessary (click [here](#) for your agency's 2017 report)
- No, changes are being considered but have not been made
- No

Please explain your response: Working on RM annual training material with JKO.

7. Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))

- Yes
- No

Please explain your response: RM position is per reference above, SOUTHCOM RM program lacks a planned investments in IT that affect the management and preservation of records.

8. Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))

- Yes
- No

Please explain your response: Working on RM annual training material with JKO.

9. Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?

- Yes
- No

Please explain your response:

10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

- Yes
- No

Please explain your response: Records and Information Management Specialist position has been vacant for over a year and Command request guidance and support to restart Rm activities within the Command.

APPENDIX D-10

UNITED STATES SPECIAL OPERATIONS COMMAND

*Senior Agency Official for Records Management
2018 Annual Report
DoD Component Input from U.S. Special Operations Command*

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2018.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact Clyde Iverson
- Position title Command Records Manager
- Address 7701 Tampa Point Blvd, MacDill AFB, FL 33621-5323
- Office telephone number (813) 826-4221
- Email Clyde.Iverson@socom.mil

- 1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

- 2. Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

Yes

No

Please explain your response: When identified, all permanent paper records are being converted into electronic format for long term archival. All electronic permanent records are being stored in their native format. Previously, U.S. Special Operations Command (USSOCOM) has purchased Micro Focus Content Manager (CM) software and enterprise licensing to utilize for capturing all permanent electronic records for the

USSOCOM enterprise. Due to software integration issue, USSOCOM is currently working on developing a custom solution for our enterprise records management program.

3. Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?

- Yes
 No

Please explain your response: This is an on-going, long term effort for USSOCOM due to the complexity and size of the organization. USSOCOM has an enormous number of electronic systems and many agency owned networks. This requirement will be included in the new USSOCOM custom developed Records Management System to ensure Electronic Information Systems are properly identified, documented, and approved for document retention.

4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

- Yes
 No

Please explain your response (include specific goals and example metrics): Our paper business processes are automated and streamlined whenever possible. The USSOCOM Records Management Directive is currently being updated and will clearly define these requirements.

5. Is your DoD Component utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

- Yes
 No

Please explain your response: There is no requirement to purchase any additional services from this schedule. If a requirement is identified USSOCOM will review the GSA schedule and determine if it can be used to fulfill the requirement. USSOCOM has already purchased Micro Focus Content Manager (CM) software and enterprise licensing to support our enterprise records management program.

- 6. Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?**

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

Yes

Changes were unnecessary (click [here](#) for your agency's 2017 report)

No, changes are being considered but have not been made

No

Please explain your response: It is USSOCOM's written policy that our appointed Directorate Records Officer's (DRO's) are responsible for ensuring all incoming and outgoing senior officials are briefed on their records management responsibilities.

- 7. Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

Yes

No

Please explain your response: Manpower studies have been conducted on the records management program and validated by leadership. The records management program is funded based on validated requirements.

- 8. Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

Yes

No

Please explain your response: USSOCOM has a required annual records management training course for all personnel. A Senior Leaders briefing and handout has been created for our leadership. Tailored training is conducted for appointed records management personnel by the Command Records Manager.

- 9. Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

Yes

No

Please explain your response: Auditing the USSOCOM Records Management Program to ensure proper implementation is not being accomplished. Our Records Management Directive requires updating to ensure all new records management requirements are addressed. With updated policy and the use of technology, USSOCOM will be able to automate the auditing process and include it in our new custom developed Records Management System.

Even when the new guidance is published, we must have business processes in place to enforce the policy.

- 10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?**

Yes

No

Please explain your response: Request NARA conduct an assist visit and assessment for the USSOCOM Records Management Program to identify any potential strengths, weaknesses, and ensure our records management program is properly implemented.

APPENDIX D-11

UNITED STATES STRATEGIC COMMAND

*Senior Agency Official for Records Management
2018 Annual Report*
**DoD Component Input from *United States Strategic Command*
(USSTRATCOM)**

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2017.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- Mr. Chuck Yasik
- Command Records Manager/ USSTRATCOM/J010
- 901 SAC Blvd., Suite 2F3, Offutt AFB, NE 68113
- PH: 402-232-3218 / DS N 272-3218
- NIPR: charles.s.yasik.civ@mail.mil / SIPR: charles.s.yasik.civ@mail.smil.mil

- 1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

- 2. Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- Yes
 No

Please explain your response: In preparation for Command's future move to a new facility in the Fall of 2019, along with M-12-18's Goal 1.1 deadline, a process was implemented at USSTRATCOM that directs all personnel to scan their hard copy

documents that are required for retention, and file (drag and drop) them into their Office of Record's electronic file plan located on their NIPR/SIPR restricted drives so they can be automatically transferred, via document queues, into the Command's official records repository known as Hewlett Packard Enterprise Records Manager (HPERM); for TS, records will be manually monitored by File Custodians (FCs) for retention and disposition. Each Quarter, FCs provide a status report to their Directorate Records Officer (DRO); the DRO monitors the progress that their Directorate is making, with Command Records Manager (CRM) oversight, to ensure all hard copy records are converted (scanned) as a ".pdf" and place in electronic file plan for retention until their disposition is met for destruction (temporary records) or transferred to NARA for permanent storage. **Note:** All Command personnel have the ability to "drag and drop" official records into their "Office of Record's" electronic file plan and have "read only" access to HPERM.

3. **Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

Yes

No

Please explain your response: Strategic Command Instruction (SI) 930-01, Records Management Program, was substantially modified and approved on 2 October 2017; this SI encompasses the mandatory requirement of filing records (Permanent and Temporary), as defined by Title 44 U.S.C. § 3301, be electronically filed in Hewlett Packard Enterprise Records Manager (HPERM) v8.3 (USSTRATCOM's Records Repository).

4. **As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

Yes

No

*Please explain your response (include specific goals and example metrics): Answer to this question is similar to Question 2 of this SAORM Report; however, to evaluate our process at USSTRATCOM, an internal Staff Assistant Visit (SAV) was conducted by the Command Records Manager (CRM) in July-October 2017 timeframe to ensure compliance was being met and the next CRM RM SAV is scheduled for May-August 2019. This process directs all personnel to scan hard copy documents, that are required for retention (this includes permanent records), and file (drag and drop) them into their electronic file plan created on NIPR/SIPR restricted drives to be automatically transferred, via document queues, into Hewlett Packard Enterprise Records Manager (HPERM); TS records will be manually monitored by File Custodians (FCs) for retention and disposition. Each Quarter, FCs provide a status report to their Directorate Records Officer (DRO); the DRO monitors the progress that their Directorate is making, with CRM oversight, to ensure all permanent hard copy records are converted (scanned) as a ".pdf" and place in HPERM. **Note:** This process is reflected in our Strategic Command Instruction (SI) 930-01, Records Management Program; along with CRM's briefing slides and tri-fold handout, to Newcomers at Command Orientation, and taught during all CRM Records Management Training events.*

5. Is your DoD Component utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

Yes

No

Please explain your response: USSTRATCOM has contracted Multi-Function Devices (MFDs) (e.g. Color Laser Jet Flow MFP M880) throughout the Command that replaces Copiers, Printers, Faxes, and Scanners; the MFDs were a test for our current Headquarters (HQ) and will be fully implemented in our new Command and Control Facility (new HQ Building for USSTRATCOM). Bottom Line: With the assistance of MFDs on all enclaves (NIPR/SIPR/TS) allows personnel with the ability to digitalize hard copy records to allow filing those records into the Command's records repository known as Hewlett Packard Enterprise Records Manager (HPERM) on NIPR and SIPR.

6. Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees,

political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

Yes

Changes were unnecessary (click [here](#) for your agency's 2017 report)

No, changes are being considered but have not been made

No

Please explain your response: Senior officials receive a tri-fold handout on USSTRATCOM's RM Program; this handout provides the leaders with the legal definition of Federal record, examples of records, and their RM responsibilities, discourages personal account/email usage, RM references, and POCs.

7. **Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

Yes

No

Please explain your response: The support of USSTRATCOM's Records Program is reflected with having the Command Records Manager (CRM) position being located within the Secretary of the Joint Staff (SJS) in the J0 Directorate. Since the CRM is aligned under the SJS, this allows the CRM to directly report to the Chief, SJS, which has the support of the Deputy Chief of Staff, J0CSA, and the Chief of Staff, J0CS; with the CRM having the support of the Front Office, this provides the CRM with the confidence to manage the RM Program throughout the HQ and Component Commands. As far as the resources to support the RM Program, STRATCOM utilizes Hewlett Packard Enterprise Records Manager (HPERM) that serves as the Command's records repository; with one GS-11 serving as the CRM and 1 FTE for HPERM technical support, the RM Program has streamlined and heavily relies on personnel being assigned the additional duties of Directorate Record Officer (DRO) that oversees the RM Program for the Directorate and serves as a liaison with the CRM, and Division/Branch File Custodians (FCs) that are responsible for ensuring their Office of Record adheres to the Strategic Command Instruction (SI) 930-01, Records Management Program.

8. **Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

Yes

No

Please explain your response: Computer based training via Joint Knowledge Online (JKO) on the importance of Records Management is completed annually by all hands. A 2-hour Instructor led course is conducted twice a month by the Command Records Manager (CRM) to employees that are assigned the responsibility for records management within their office; this training is for the roles of Directorate Records Officers and File Custodians. Daily training at 0900 and 1400 is offered by the CRM for records management programs (e.g. Hewlett Packard Enterprise Records Manager and USSTRATCOM Records Information Management System for File Plan development and maintenance) utilized by USSTRATCOM; and brief records management procedures during Newcomers Orientation held monthly (CRM hands out an RM Tri-fold to Newcomers prior to presenting a 5-minute PowerPoint brief).

- 9. Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

- Yes
 No

Please explain your response: Per Strategic Command Instruction (SI) 930-01, Records Management Program, the Command Records Manager (CRM) performs a Records Management (RM) Staff Assistance Visit (SAV) every 2-years; last RM SAV was in July-October 2017 timeframe to ensure compliance was being met and the next CRM RM SAV is scheduled for May-August 2019. CRM task the Directorate Records Officer (DRO) to perform an RM SAV within their Directorate every 2-years to ensure their Directorate is adhering to Command's RM Program. USSTRATCOM's Inspector General inspected the CRM on 11-15 June 2018, as directed by the Chief of Staff, to ensure compliance. Finally, the Chief of Information Management Division, Joint Staff, and Chief, Records and Research Branch, Joint Staff Records Officer, performed an RM SAV/Inspection to the CRM on 16-17 July 2018 to ensure USSTRATCOM is in compliance of Joint Staff, DoD, and NARA regulations. Lastly, NARA will perform an RM Inspection to the CRM via Teleconference on 22 May 2019.

- 10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?**

- Yes
 No

Please explain your response: USSTRATCOM is well underway for fully becoming completely electronic for recordkeeping; with the migration of Windows 10 to all NIPR and SIPR machines, the Command Records Manager (CRM) was able to get Hewlett Packard Enterprise Records Manager (HPERM) v8.3 added to the baseline of software; thus, ensuring that all personnel have the ability to access the Command's records repository once they have received training and an account created for them. USSTRATCOM has also implemented, within its business rules,

APPENDIX D-12

UNITED STATES TRANSPORTATION COMMAND

*Senior Agency Official for Records Management
2018 Annual Report
DoD Component Input from **USTRANSCOM***

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2017.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact
- Command Records Manager
- USTRANSCOM Scott AFB, IL 62225
- 618-220-4762
- april.n.simpson.civ@mail.mil

- 1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

- 2. Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- Yes
 No

Command Records Manager has tasked/distributed requirements to all Records Professionals, in accordance with M-12-18, Goal 1.1, to move all permanent records to Hewlett Records Manager (HPRM).

3. Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?

Yes

No

All permanent records are kept in HPRM to be sent/stored at the base inactive storage facility. USTRANSCOM TCJ6 is obtaining a tool that will be connected to HPRM to ensure all permanent records are dispositioned. Records Professionals are trained on how to maintain and disposition permanent records.

4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

Yes

No

An instruction has been written on the Records Management Program that includes steps to maintain permanent records. Records Professionals have been trained on the requirements for maintaining permanent records. A tool is also being put in place that has the capability to store/save, use, disposition, and send electronic records to NARA.

5. Is your DoD Component utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

Yes

No

Records are currently in an electronic environment. USTRANSCOM is procuring a tool that will be able to forward electronic records to NARA.

6. Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

Yes

Changes were unnecessary (click [here](#) for your agency's 2017 report)

No, changes are being considered but have not been made

No

Command Records Manager has the ability to speak with senior leadership in order to brief them on their records keeping responsibilities. The status of their records management program are briefed as part of any internal staff assisted visits.

7. **Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

Yes

No

Records Management program has leadership support but requires additional resources (personnel and equipment) to be fully successful for the long term. Currently USTRANSCOM has one person at the Command level facilitating and directing the Command Records Program. Additionally limited access to high speed scanners to digitize physical records slow progress.

8. **Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

Yes

No

Records Professionals are required to attend an in-class training course to ensure that they understand their record keeping responsibilities, as well as annual refresher training. An annual JKO training is also required for all military, civilian, and contracted personnel to ensure that they understand their responsibilities as well.

9. **Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records**

management directives, policies, procedures, and retention schedules are being properly implemented?

- Yes
 No

The Command Records Manager, as well as the Functional Area Records Managers (FARM), conduct annual staff assisted visits to ensure that the Records Management Program is in compliance. Agency instructions are reviewed annually, as well as policies and procedures. CJCSM Volume II is used to create file plans and ensure proper retention.

10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

- Yes
 No

A tool is being added to transition from a manual process system. This tool will provide an efficient way to disposition, maintain, use, and dispose of records in accordance with NARA guidance. Continued support is needed to transition the Command to a fully electronic record keeping environment within the allotted time.

APPENDIX E

OFFICE OF THE SECRETARY OF DEFENSE
COMPONENT SAORM REPORT

APPENDIX E-1

OFFICE OF THE SECRETARY OF DEFENSE

0594481

**0Senior Agency Official for Records Management
2018 Annual Report
DoD Component Input from **Office of the Secretary of Defense****

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2017.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact
- Position title
- Address
- Office telephone number
- Email

Luz D. Ortiz
OSD Records Administrator
Records, Privacy, and Declassification Division
4800 Mark Center Dr,
Alexandria, VA 22350
Office: (571) 372-0473
Records Management Mailbox:
whs.mc-alex.esd.mbx.records-and-declassification@mail.mil

- 1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

2. Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)

- Yes
 No

Please explain your response:

Office of the Secretary of Defense (OSD) and the WHS Serviced Components

Created in 2008, the OSD Executive Archive (EA) is an electronic repository with over 80 million pages of permanent OSD records. The EA is both a historical archive for permanent records and a text-searchable information access tool used to provide valuable information to decision makers across the Department and Federal government. NARA has approved the OSD EA as a record repository. In 2018, OSD scanned and/or ingested more than 23 million pages of OSD record material (electronic and hardcopy) into the OSD EA. This includes record material originating from the immediate offices of Secretaries of Defense James Mattis and Ash Carter, as well as previous Secretaries of Defense and Deputies. In addition, the EA has records from other departed officials, such as: DoD Chief Information Officer, ASD Health Affairs, DoD General Counsel, USD (Intelligence), USD (Personnel and Readiness), Director Washington Headquarters Services (WHS); and Pentagon Force Protection Agency (PFPA).

Additionally, the OSD Records Administrator has identified over 300 permanent disposition authorities for conversion into electronic files. Once authorities are updated, the conversion will improve OSD's ability to research and reuse records and data from previous years.

3. Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?

- Yes
 No

Please explain your response: NARA Criteria for Successfully Managing Permanent Electronic Records does not provide sufficient level information to meet the requirements of OSD. OSD has prescribed in existing OSD Records and Information Management (RIM) policies and procedures more nuanced guidance than the Criteria for Successfully Managing Permanent Electronic Records. The OSD Records Administrator and staff conduct reviews of policies, procedures, information systems, applications and architectures to support OSD business and operational requirements.

4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA

will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

- Yes
- No

Please explain your response (include specific goals and example metrics): OSD is in the planning stages as we are still conducting market research into products that may assist with transitioning away from paper-based processes and assist with the maintenance and digitization of unclassified records. The Defense Office of Hearings and Appeals (Federal Court requirements), DoD Freedom of Information Division (multiple classification of NSI) and NATO liaison offices in DoD/CIO (due to the various technology of the member nations), USD (P) and USD (I) are program offices within OSD that must maintain hardcopy records. For offices with longer retention requirements, we will need to pursue alternate storage options.

5. Is your DoD Component utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

- Yes
- No

Please explain your response: The OSD RIM Program uses a multi-pronged approach that includes IT support from the Joint Service Provider, Defense Information System Agency (DISA) and assistance from a contractor (a Schedule 36 vendor) to solve RIM issues posed by the OSD information network, including but not limited to archiving, RIM oversight, training and management of electronic records. As we continue to conduct market research, we must acquire funding for any enterprise-wide solution that will support transitioning to an electronic environment.

6. Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors

of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

- Yes
- Changes were unnecessary (click [here](#) for your agency's 2017 report)
- No, changes are being considered but have not been made
- No

Please explain your response:

The OSD Records Administrator has multiple means of addressing this requirement, to include:

- Providing briefing materials to senior officials
- Integrating RM information into “incoming” briefs and action officer briefs
- Implementing and updating policies and procedures with DISA/Joint Service Provider to reflect new technologies and software
- Providing annual RM training for senior officials; and,
- Holding face to face briefings upon request

7. Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))

- Yes
- No

Please explain your response: The OSD RIM Program is within Washington Headquarters Services (WHS), Executive Services Directorate, Records, Privacy and Declassification Division. WHS is a DoD Field Activity and directly reports the Office of the Chief Management Officer (CMO). The OSD RIM Program is responsible for the oversight and implementation of the Federal Records Act within OSD. The program supports the Immediate Offices of the Secretary of Defense, Deputy Secretary of Defense; 14 Under Secretary level offices; 14 Assistant Secretary level offices; over 300 Deputy or Assistant Deputy Secretary level offices and below; 6 Defense Agencies; 9 DoD Field Activities; 4 DoD college accredited schools; 41 Federal Advisory Committees and 4 Temporary Boards, Commissions, Task Forces (BCTF), and the 13th Quadrennial Review of Military Compensation (QRMC).

The OSD RIM program has 2.5 civilian positions and contract support for oversight and the OSD Executive Archive. We also pay the NARA Federal Records Center storage for our Components. Currently, funding for an enterprise solution for electronic records is via Unfunded Requirement (UFR) requests. We will use the POM once a solution is

selected. Additionally, the OSD SAORM requested another civilian position to assist with proper oversight of OSD RIM program. The new positions, if approved, will enable more proactive measures to ensure each organization implements processes to identify and safe guard the transfer of hard copy and electronic records. With an additional full time civilian, the OSD RIM Program can improve performance measures by providing more hands-on guidance to organizations on the maintenance and retention of their records as their offices transition.

Additionally as the DoD information environment rapidly transitions into the digital realm, it increases the need for current personnel to stay up-to-date on technological advances that will have an impact on the sustainability of OSD information. OSD reporting offices such as the Defense Media Activity are working with the Defense Digital Services (DDS) Office, Chief Management Officer (CMO) and DISA to pilot a cloud computing solution. The Defense Health Agency is working with the Military Departments to implement a cloud-based electronic health record system. DISA has implemented the Defense Enterprise Email (DEE) via Microsoft 365¹, which requires an archiving solution for it. DEE contains thousands of accounts containing millions of emails and attachments that would bring significant context to leadership decisions. These emerging requirements need trained personnel at all levels to research solutions, policies, and practices for the long-term preservation of electronic records and information that have both programmatic and historical relevance to OSD and the Nation.

8. Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))

Yes

No

Please explain your response:

Prior to 2016 the OSD Records Administrator provide 4 training classes monthly: RM 101, Electronic Records Management (ERM), Records Inventory, and Records Transfers (Retirement). After 2016 the OSD RIM Program in-coordination with the Defense Health Agency developed a web-based online training, reviewed annually for updates. The training consists of a 60-minute interactive presentation outlining the basic records management responsibilities for maintaining OSD records and implementing records management in their components. This training is available via WHS/HRD Learning Management System (iCompass), Joint Knowledge Online (JKO) and dispersed to Defense Agencies and Field Activities supported by WHS/ Records, Privacy and Declassification Division (RPDD). Our training program also offers "OSD Senior Officials Records and Information Management Training" module annually. This training

¹ Microsoft 365 is a cloud-based software as a service products for business environments, such as hosted Exchange Server, Skype for Business Server, and SharePoint and more.

is included in the training plans for Senior Officials and Political Appointees and consists of a 15-minute video presentation outlining the roles and responsibilities of Senior Officials and their Supporting Personnel. In order to meet NARA requirements the programs will continue to offer in-person training to personnel, service members, contractors, and volunteers without access to a computer, as requested.

In January 2018 the OSD SAORM (Dir, Executive Services Division, Washington Headquarters Services) issued a memorandum, implementing a records management-training program for all Component Records Management Officers (CRMO), Records Managers (RM) and Records Liaisons (RL) within WHS-serviced Components, developed by the OSD Records Administrator (Chief, RPDD). The CRMO Training Program provides all OSD/WHs-serviced records personnel with an overview of their RIM responsibilities, terminology, development of file plans, and the disposition of OSD records and information. This training provides an open forum to discuss challenges and opportunities surrounding the RIM program. In 2018, 335 personnel received this training.

9. Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?

- Yes
- No

Please explain your response:

In preparation for the FY 2020 NARA inspection, the OSD SAORM assigned a team to conduct evaluations of WHS-serviced Components' records management programs. The intent of these evaluations is to identify and provide feedback on potential RIM compliance concerns, as well as document strengths and weaknesses within the OSD RIM programs. These evaluations include the review of records in all formats/media, including hard copy, electronic (email, shared drives and portals), electronic information systems and databases maintained by WHS-serviced Components, associated defense agencies and field activities located throughout the National Capitol Region.

10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

- Yes
- No

Please explain your response:

1) It would be extremely helpful if NARA strengthened its oversight role by working with agencies to better coordinate responses to an unauthorized disposition of record and lack of RIM consideration by program managers and IT business systems in the design, development, and implementation of information systems and databases. Advances could

be achieved by NARA working with the Federal CIOs, Inspector Generals and OMB to change the vast misconception that federal records are the hardcopy or final signed report; the lack of planning for long term record preservation and ADHOC decommissioning of information systems without taking into consideration the lifecycle of the information.

2. OSD would benefit greatly if NARA fast-tracks its issuance of scanning regulations for permanent records. The delays are severely hampering OSD's ability to meet the successful transition to electronic recordkeeping and other mission goals. OSD has over 200 cubic feet (and growing) of records previously eligible for scanning into electronic formats and destruction; additional delays will cause OSD to pause the collection of hardcopy records for conversion due to space limitations. To retire hard-copy records to a Federal Records Center previously scheduled for destruction, is cost prohibitive and affects efficiencies gained by digitization. OSD is under continuous resource constraints and scanning reduces storage costs and increases OSD capabilities to provide records efficiently to our customers.

3. Significant progress would be made from NARA's positive response to OSD's request to transition 300 previously approved permanent disposition authorities from strictly hardcopy to media neutral. This is causing significant delays in the development of policies and procedures to meet the 2019 goal to manage all permanent electronic records in electronic formats.

APPENDIX E-2

DEFENSE ADVANCED RESEARCH
PROJECTS AGENCY

*Senior Agency Official for Records Management
2018 Annual Report
DoD Component Input from < DARPA >*

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2017.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- Carla Little - Kopach
- Component Records Management Officer
- 675 N Randolph St Arlington, VA 22203
- (703) 696-7473
- Carla.little-kopach@darpa.mil

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

2. **Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- Yes
 No

3. Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?

Yes
 No

4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

Yes
 No

5. Is your DoD Component utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

Yes
 No

6. Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

Yes
 Changes were unnecessary (click [here](#) for your agency's 2017 report)

- No, changes are being considered but have not been made
- No

7. Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))

- Yes
- No

Please explain your response: WHS/RPDD will answer

8. Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))

- Yes
- No

Please explain your response: WHS RPDD will answer

9. Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?

- Yes
- No

10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

- Yes
- No

Please explain your response:

APPENDIX E-3

DEFENSE MEDIA ACTIVITY

*Senior Agency Official for Records Management
2018 Annual Report
DoD Component Input from **Defense Media Activity***

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2017.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- Joseph A. Sanders
- Acting DMCO
- 6700 Taylor Avenue / Ft. Meade, MD 20755
- 301-222-6524
- Joseph.a.sanders.civ@mail.mil

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

2. **Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

Yes

No

Please explain your response: We have purchased and are using Google suite. The application includes an Integrated Solution-a set of applications, including Gmail, Docs, Sheets, Slides, Sites and more, as well as a set of messaging, collaboration, security, and compliance tools for organizations to use. It also includes Google Drive and Google

Vault for disposition, tagging metadata and obtaining a waiver from Defense Digital Service of 1 year to work on obtaining IL4 certification. Training has begun and will continue for records and information managers, liaisons and custodians.

3. **Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

Yes

No

Please explain your response: We have begun the process of instituting policies to move our processes into alignment with the criteria by planning for resources and making management of records a priority. This includes hiring people, defining processes to be used and providing electronic tools to meet the benchmark.

4. **As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

The Reform Plan states:

***Transition to Electronic Environment:** Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.*

Yes

No

Please explain your response (include specific goals and example metrics): We have reestablished an electronic records and information management training program with the help of NARA; implementation projected to be end of 3rd Qtr this FY. It will be incorporated into the agency's resource management strategic plans (part of the agency's overall Strategic Plan) and the IT system design and development as well as inserted into contract clauses to safeguard electronic records, information and any other data that is created, maintained or stored in a cloud or other platforms owned by third parties that we do business with or for.

5. **Is your DoD Component utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes
 X

Please explain your response: The services identified in the GSA Schedule 36 are not applicable to our mission at this time.

6. Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

- x Yes
 Changes were unnecessary (click [here](#) for your agency's 2017 report)
 No, changes are being considered but havenot been made
 No

Please explain your response: WHS provided a Youtube link to access the online training for senior officials in accordance with approving a list of individuals fitting the categories listed above to ensure the training requirement is inclusive of all who should take it annually. The next process is to provide the training to incoming senior personnel as soon as they are officially onboard, but not later than 30 days in house.

7. Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management)

- X Yes
 No

Please explain your response: A Records and Information Management Specialist (Component Records Management Officer) and an alternate has been appointed. They have also been trained by WHS RIM Specialists and are NARA Certified RMs. They are working together to ensure this program's training is being administered electronically throughout the agency, (local and across theaters outside the US). This will be more cost effective than bringing in a facilitator, and aligned with other on-line mandatory training such as privacy, information security awareness and cyber security on a routine training cycle. **WHS/RPDD will answer**

8. Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))

Yes

No

Please explain your response: Same information as provided in answer above. **WHS RPDD will answer**

9. Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?

Yes

No

Please explain your response: Conducted a records and information management assessment to evaluate current status. This was further used to support a recent WHS RIM evaluation in preparation for an official NARA RIM evaluation/inspection projected to be conducted in the near future. Continuation of spot checks, site visits, planned training, updating of policies and procedures and providing reports and feed-back will lead to better practices of complying with directives, policies, procedures and retention and/or disposition of the Federal records and understanding of the records we are managing agency wide.

10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

Yes

No

Please explain your response:

APPENDIX E-4

DEFENSE OFFICE OF HEARINGS AND APPEALS

*Senior Agency Official for Records Management
2018 Annual Report
DoD Component Input from Defense Office of Hearings and Appeals*

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2017.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- Zabe Jenkins
- DOHA Security Manager
- 875 N. Randolph St., Arlington VA 22203
- 703-696-1419
- jenkinsz@osddgc.osd.mil

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

2. **Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

Yes

No

Please explain your response: All electronic records are manageable.

3. Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?

- Yes
 No
 Unsure

Please explain your response: There are WHS and GC plans in place which we follow. DOHA does not specifically have its own.

4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

- Yes
 No

Please explain your response (include specific goals and example metrics): Most of DOHA's records (data bases), and all electronic ones, will be easily transferable. DOHA's Due process mission requires the use of paper record files in courtroom proceedings.

5. Is your DoD Component utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

- Yes
 No

Please explain your response: Insufficient funding and no current need to procure equipment for that transition. However, equipment will be needed as DOHA's due process mission expands on transfer of some workload from the DoD CAF. This will include both electronic and paper records. Equipment for this transition is expected to be purchased using GSA Schedule 36.

6. **Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?**

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

Yes

Changes were unnecessary (click [here](#) for your agency's 2017 report)

No, changes are being considered but have not been made

No

Please explain your response: Yes, because all are briefed by DLSA and/or WHS and no because it is not "our component" that does it.

7. **Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

Yes

No

Please explain your response: WHS/ RPDD will answer

8. **Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

Yes

No

Please explain your response: WHS RPDD will answer

9. **Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

Yes

No

Please explain your response: Onsite centralized records management system/program in accordance with series 400 files plan, specifically 404 to ensure proper records retention and disposition of DOHA record files. Access availability of centralized files plan for reference purpose(s). Periodic DOHA self-inspection/review of records management program, next OSD command cycle review June 2019 followed by (DoD NARA/OSD Records Inspection).

10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

Yes

No

Please explain your response: DOHA's Due process mission requires the use of paper record files in courtroom proceedings. Those records are currently the most cost efficient as paper. Conversion of the due process mission into fully electronic would likely be prohibitively expensive. Significant NARA assistance would be required should this strategic direction change.

APPENDIX E-5

HEALTH AFFAIRS AND DEFENSE HEALTH AGENCY

*Senior Agency Official for Records Management
2018 Annual Report
DoD Component Input from **Health Affairs and Defense Health Agency***

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2017.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

Ms. Glinda Hodgkin
HA and DHA Records Management Officer
DHA-Aurora, 16401 E. Centretch Parkway, Aurora, CO 80011
303-676-3418
glinda.l.hodgkin.civ@mail.mil

- 1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

- 2. Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- Yes
 No

Please explain your response: HA & DHA Records Management Officer collaborates with OSD Records Management to ensure permanent records are maintained in electronic format and transferred to NARA as required.

3. Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?

Yes
 No

Please explain your response: HA & DHA Records Management is working closely with DHA Information Technology to ensure any internal or external information systems maintaining permanent electronic records follow all applicable requirement for the management of these records throughout their life cycle.

4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

Yes
 No

Please explain your response (include specific goals and example metrics): HA & DHA Records Management is working with offices maintaining a large paper footprint to ensure records are retired and disposed of as disposition instructions require. Records Management Office is recommending digitization of non-permanent records that exceed a lifespan of five years or more.

5. Is your DoD Component utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

Yes
 No

Please explain your response: HA & DHA Records Management Office is currently working internally/externally for a 5015.2 STD certified Records Management Application to properly maintain records in electronic format.

6. Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records

management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

Yes

Changes were unnecessary (click [here](#) for your agency's 2017 report)

No, changes are being considered but have not been made

No

Please explain your response: HA & DHA Records Management Office is involved in all incoming and outgoing senior officials. Records Management training information via Joint Knowledge Online (JKO) is provided to incoming personnel, and departing officials receive a briefing with Records Management requirements prior to departure.

- 7. Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

Yes

No

Please explain your response: HA & DHA Records Management is afforded contract support to assist HA & DHA Offices with Records Management training, targeted office assistance, monthly compliance checks, annual Records Management reviews, etc.

- 8. Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

Yes

No

Please explain your response: HA & DHA Records Management Office currently has a Records Management training on JKO that provides a comprehensive overview of records management policies and procedures. The training is available for all levels of employees and contractors. HA & DHA Records Management Office also provides quarterly in-person training, as well as specific office training upon request.

9. Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?

- Yes
- No

Please explain your response: HA & DHA Records Management conducts monthly compliance checks as well as annual records reviews to already established offices. As new components are identified, a records management assessment is conducted and a plan of action is generated as needed to ensure compliance with all policies and procedures.

10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

- Yes
- No

Please explain your response: HA & DHA Records Management Office will contact NARA if assistance is needed to successfully deploy any Records Management requirements.

APPENDIX E-6

OFFICE OF ECONOMIC ADJUSTMENT

*Senior Agency Official for Records Management
2018 Annual Report
DoD Component Input from Office of Economic Adjustment*

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2017.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- Louis Littleton
- Records Manager
- 1325 J. Street, Suite 1500 Sacramento, CA 95814-2941
- 916-557-7316
- louis.c.littleton.civ@mail.mil

2. Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)

Yes

The Office of Economic Adjustment (OEA) has access to two systems that facilitate the office's transition towards managing all permanent electronic records in electronic format. The first program is called SmartSimple. This program is our enterprise grants management program that creates and manages our project and grant files, which are a majority of our electronic records. SmartSimple is a workflow engine that is being utilized to manage other sets of records including suspense task and human resource documents. OEA also has access to a DoDI 50150.02 approved electronic content management system called Alfresco. This system is being built out for future utilization by the office. This system will house permanent record created in SmartSimple as well as other permanent records such as our Director's signature files.

OEA is also developing a process to route packages electronically, some of which are considered permanent records.

Several areas of improvement have been identified that need additional consideration. Specifically, we require changes in office procedures and policies to ensure all permanent electronic records are maintained in electronic format.

3. Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?

Yes

OEA is currently revamping the office's records management program including the handling of electronic records. As part of this process OEA is developing policies, identifying ways to fully utilize available systems to maintain and apply disposition to all office's permanent electronic records, and limiting access to files of sensitive nature.

Throughout this process the records liaison and the records manager have applied recommendations through consulting with stakeholders, reviewing records schedules, training for all staff, developing our systems, instituting policies, and evaluating OEAs records program and processes. Plans of action are being established, implemented, and created to further address all these areas.

OEA already has acquired an approved electronic content management system and is working on its implementation.

4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

Yes

OEA will be able to meet the December 31, 2022 deadline. We are in the process of planning on how to deal with our current hardcopy paper records. Depending on the preferences by WHS and the guidance revolving around digitizing hardcopy records.

5. Is your DoD Component utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

No

OEA did not use GSA Schedule 36, but the contractor that provides records management support is on the GSA Schedule

6. Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

No, changes are being considered but have not been made

Outgoing senior officials are briefed by the OEA records liaison or records manager about their records management responsibilities.

Senior level officials were encouraged to take the Records Management for Senior Officials course on iCompass, but this course no longer appears to be available leading to internal discussions on how to review these requirements for incoming senior officials.

9. Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?

Yes

While OEA has not yet gone through the Records and Information Management Assessment conducted by WHS, we find it is a valued practice. OEA is looking forward to this assessment later on this Fall.

10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

Yes

OEA's records liaison attended NARA's Federal Records Management Training Program in the fall of 2018. He found this course extremely helpful and obtained tools and practices that have been used by the office to enhance our records management practices, but there are still some additional areas NARA can help support a successful transition to a fully electronic recordkeeping.

The primary form of assistance NARA can provide support is to provide clear guidance on the requirements for digitizing hardcopy records. The current practice submitting a memo to NARA and having someone come out to evaluation scanning practices onsite is no longer practical especially with the upcoming deadline. Giving a more streamline process and guidance on the requirements for digitizing permanent records, identifying the scanned copies as the records, and authorization to destroy the hardcopy versions would be a great help in this transition.

APPENDIX E-7

UNIFORMED SERVICES UNIVERSITY OF THE
HEALTH SCIENCES

*Senior Agency Official for Records Management
2018 Annual Report*

**DoD Component Input from <Uniformed Services University of the Health
Sciences (USUHS)>**

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2018.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: **Hayat Saenz**
- Position title: **Management Analyst**
- Address: **4301 Jones Bridge Road, Bethesda, MD 20814**
- Office telephone number: **301-295-9892**
- Email: **hayat.saenz@usuhs.edu**

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

2. **Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- Yes
- No

Please explain your response: *USUHS is currently:*

1. *Working on a plan to stop the creation of permanent records in paper format,*
2. *Correcting mistakes by having to re-classify each department's permanent records with correct series number, and title, and*
3. *Automating previously created hard copy permanent records.*

3. **Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

Yes

No

Please explain your response: *USUHS plans to create policy(s) with Federal Records Management rules and regulations in mind, plan to implement an electronic records management system that allows permanent records to be managed and transferred to NARA properly.*

4. **As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

Yes

No

Please explain your response (include specific goals and example metrics): *USUHS is currently transitioning to all electronic records management system by automating hard copy records and decreasing the creation of paper records.*

5. **Is your DoD Component utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes
- No

Please explain your response: No. USUHS is not aware of GRC schedule 36 and request more information.

6. Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

- Yes
- Changes were unnecessary (click [here](#) for your agency's 2017 report)
- No, changes are being considered but have not been made
- No

Please explain your response: Yes, OSD's Senior Leadership Records Management training is shared with incoming senior officials. An out-processing procedure is currently being drafted.

7. Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))

- Yes
- No

Please explain your response: WHS/RPDD will answer

The records management section is working with the Agency's IT to determine if the current electronic filing station can be enhanced to support the program's requirement, or a workable solution developed to address the existing system's shortcomings.

8. Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))

- Yes
- No

*Please explain your response: **WHS RPDD will answer** Yes, OSD's Annual Records and Information Management Training have been mandated for all employees. In addition, Defense Health Agency (DHA) and/or CRMO provides departments records custodians in-person training annually.*

9. Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?

- Yes
- No

Please explain your response: Annual review was conducted by DHA Prior to 2015. Year 2016-2018; USUHS performed self-assessment and reported findings to DHA annually.

10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

- Yes
- No

Please explain your response: Due to the limitations discovered with the agency's electronic records keeping system, the records management section has communicated with IT on improvement recommendations but are also open to NARA's support.

APPENDIX F

INDEPENDENT AGENCY INPUT TO DOD
SAORM REPORT

APPENDIX F-1

ARMY AIR FORCE EXCHANGE SERVICES

*Senior Agency Official for Records Management
2018 Annual Report
DoD Component Input from Army and Air Force Exchange Service*

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2018.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- Shanna Jones
- Records Officer
- 3911 S. Walton Walker Blvd, Dallas, TX 75236
- 214-312-2283
- JonesShanna@AAFES.com

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

2. **Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- Yes
 No

Please explain your response:

AAFES has identified a fully certified DoD 5015.02-std Records Management Application (RMA) that will enable the proper management of our permanent records.

Records Management, Information Technology, and the owners of all permanent records are collaborating to meet the December 31, 2019 deadline.

3. **Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

Yes
 No

Please explain your response:

A new, fully certified DoD 5015.02-std, RMA was selected to ensure policies, controls, access/security, and disposition and transfer requirements were all met. Senior Executives, Information Technology, Corporate Policy, Records Management, and all permanent record business owners are aware of the resources needed for ongoing support and a successful transition.

4. **As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

Yes
 No

Please explain your response (include specific goals and example metrics):

At this time the main goal for AAFES is meeting the 2019 deadline for permanent records.

5. **Is your DoD Component utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?**

Yes
 No

Please explain your response:

GSA 36-51 600 was used in the selection of our Records Management Solution. AAFES did not have a need to utilize GSA 36-51 504 for Physical Records Management Solutions.

- 6. Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?**

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

- Yes
 Changes were unnecessary (click [here](#) for your agency's 2017 report)
 No, changes are being considered but have not been made
 No

Please explain your response:

AAFES does provide training to all current and incoming senior officials regarding their email requirements. However, we are working to implement additional training on all other records management aspects, to include exit briefings.

- 7. Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

- Yes
 No

Please explain your response:

Senior Executives have supported the requirements in M-12-18 and provided a new RMA that will enable records management to properly manage electronic records. The addition of records management annual training has been approved. While staffing resources are still a major concern there have been great strides in records management with the assistance of our senior staff.

- 8. Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all**

staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))

- Yes
 No

Please explain your response:

AAFES currently has one-time mandatory training for Records Liaison Officers regarding their roles and responsibilities, and one-time mandatory training regarding email management. Role based training that includes all requirements in NARA Bulletin 2017-01 is currently under development and will be finalized in 2019.

9. Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?

- Yes
 No

Please explain your response:

Yes, records management requires all 1,700 worldwide facilities and HQ departments to review file plan reviews, inventories, and submit signed compliance statements annually to records management. A survey is completed by all RLO's on a biennial bases.

10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

- Yes
 No

Please explain your response:

NARA has provided the bulletins, guidance, and legal requirements for a successful transition.

APPENDIX F-2

DEFENSE COMMISSARY AGENCY

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2017.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- Defense Commissary Agency
- Records Officer
- 1300 E Avenue, Fort Lee, VA 23801
- (804) 734-8000 ext. 48841
- carol.chambliss@deca.mil

- 1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

- 2. Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- Yes
 No

Please explain your response: DeCA is currently conducting a refresh of its Records Management Application (RMA), which will include the management and transfer requirement for permanent records by 12/31/2019.

NOTE: More guidance is requested on how to meet decryption requirements for records prior to transfer to NARA.

3. Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?

Yes
 No

Please explain your response: DeCA is currently in the midst of refreshing its RMA to meet NARA's criteria for managing permanent electronic records. Updated policy and training for accessing records, and the ability to execute disposition in an electronic environment will be provided to Agency personnel before the 12/31/2019 mandate..

4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:

***Transition to Electronic Environment:** Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.*

Yes
 No

Please explain your response (include specific goals and example metrics):

October 2019: Conduct Data call for transfer of temporary records with 3 or more years retention that cannot be stored in-house to NARA for 237 business locations.

January 2020: Execute transfer of records identified from data call to NARA.

January 2020: Send notice to workforce of mandatory electronic recordkeeping requirements and discontinuance of use of paper records by January 2022

October 2021: Conduct final Data call for paper records for transfer to NARA.

January 2022: Conduct final transfer of paper records to National Archives.

February 2022: Execute cut-off for the acceptance of paper records.

5. Is your DoD Component utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

- Yes
 No

Please explain your response:

Yes, DeCA's selected solution for the RMA Refresh has been added to General Service Administration's Schedule 36 as of January 2018.

6. Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

- Yes
 Changes were unnecessary (click [here](#) for your agency's 2017 report)
 No, changes are being considered but have not been made
 No

Please explain your response: Yes, DeCA has implemented the mandatory training for Senior Officials.

7. Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))

- Yes
 No

Please explain your response: As a 4th Estate Agency, currently, the Senior Agency Official for Records Management (SAORM) is the appointed DoD SAORM.

DeCA has ensured, to the best of its financial abilities, that our records management program has support and resources to accomplish the records management mission; however there remains gaps in DeCA funding that would allow DeCA to implement all requirements defined under NARA Bulletin 2017 – 01.

- 8. Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

Yes
 No

Please explain your response: While DeCA implemented training mandates for all employees relating to record keeping responsibilities, specific role based training (IT, GC, Contracting employees etc.) has been delayed due to funding limitations.

Recommend DoD consider assigning one role based training to each component to present and implement DoD wide. For example, assign DISA the lead on Records Management role based training for Information Technology employees; Defense Contract Audit Agency the lead for Acquisition role based training etc.

- 9. Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

Yes
 No

Please explain your response: Yes, DeCA has conducted Staff Assistance Visits (SAVs) for 10% of our 236 commissaries.

- 10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?**

Yes
 No

*Please explain your response:
Need additional guidance from NARA on how to meet decryption requirements for permanent records transfers; and consideration for "Big Bucket" schedules to eliminate granular retentions schedules.*

APPENDIX F-3

DEFENSE CONTRACT AUDIT AGENCY

*DCAA Senior Agency Official for Records Management Input
for the DoD Component 2018 Annual Report*

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

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

2. Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)

Yes

No

*Please explain your response: **DCAA maintains all permanent records in electronic format, with the exception of physical records maintained by the Federal Records Centers (FRC). Permanent records stored at FRCs will be transferred to the National Archives during the annual move process.***

3. Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its *Criteria for Successfully Managing Permanent Electronic Records* (March 2018)?

Yes

No

*Please explain your response: **DCAA permanent electronic records are managed in DCAA's Electronic Records Management System (ERMS), "Livelink". Livelink is hosted by the Defense Information System Agency (DISA) MilCloud. Permanent records conforming to NARA standards for electronic archival will transfer to the National Archives in accordance with DCAA's records schedule.***

4. As included in the Administration's *Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations* (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

*The Reform Plan states: **Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.***

Yes

No

Please explain your response (include specific goals and example metrics): **DCAA transitioned to Livelink ERMS in 2009. Currently, there are about 3.4 million electronic records stored in Livelink with a growth rate of about 320K records per year.**

5. Is your DoD Component utilizing General Service Administration's Schedule 36 to procure solutions to assist in transitioning to an Electronic Environment?

Yes

No

Please explain your response: **This question is not applicable to DCAA. We have already procured "Livelink" as DCAA's enterprise-wide ERMS. It provides lifecycle document and records management for our electronic records.**

6. Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

* Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

Yes

Changes were unnecessary

No, changes are being considered but have not been made

No

Please explain your response: **Senior Officials complete initial and annual Records Management (RM) training. Additionally, as part of DCAA's out-processing workflow, senior officials complete an RM exit briefing and certify they have properly transferred their records prior to leaving the agency.**

7. Has your DoD Component ensured that your records management program has the support and resources it needs to be successful?

Yes

No

Please explain your response: **DCAA has a network of Records Liaison Officers appointed, at the Regional and Corporate Activity-level, who are familiar and certified on Records Management. Additionally, DCAA has Records Custodians assigned at the office level, who are trained on their records management responsibilities, and support program objectives by performing routine records maintenance.**

8. Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees?

Yes

No

Please explain your response: **DCAA staff is required to complete annual records management training. In addition, we provide tailored training to the records management personnel, based on the appropriate records management role.**

9. Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?

Yes

No

Please explain your response: **DCAA has established a Records Management Working Group with the Regional Records Liaison Officers. We have monthly telecons to share information, and collaborate on items towards improving our records management program, to include; evaluating or auditing records management processes, policies, procedures, and retention schedules.**

10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

Yes

No

Please explain your response: **Livelink ERMS has been approved and scheduled by NARA. This system serves as DCAA's official records repository, housing all electronic records.**

APPENDIX F-4

DEFENSE CONTRACT MANAGEMENT AGENCY

*Senior Agency Official for Records Management
2018 Annual Report
DoD Component Input from **Defense Contract Management Agency***

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2017.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: *Tempestt Griffin*
- Position title: *IT Specialist (Data Management)*
- Address: *3901 A Ave, Bldg 10500, Fort Lee VA 23801*
- Office telephone number: *804-734-1654*
- Email: *tempestt.e.griffin.civ@mail.mil*

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

2. **Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- Yes
- No

Please explain your response:

DCMA now manages the majority of its records electronically. However, there still remain several agency processes that require the management of hard copy records, particularly for permanent records.

3. Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?

Yes
 No

Please explain your response:

DCMA is still having challenges with the digitization of both temporary and permanent archival hard-copy records. Our agency has not expressed any plans to purchase a document conversion application or service for either temporary or permanent hard copy records. Employees have been directed to scan in their hard copy records and apply the appropriate metadata to those files, and to consult the Records Officer throughout that process.

4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

Yes
 No

Please explain your response (include specific goals and example metrics):

Currently, we are using Microsoft SharePoint to maintain these files. In the near future, a DoD 5015.02-compliant system will house these files according to their retention period and other customer-identified metadata.

5. Is your DoD Component utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

Yes
 No

Please explain your response:

DCMA leadership has not expressed any interest in utilizing this service.

- 6. Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?**

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

- Yes
 Changes were unnecessary (click [here](#) for your agency's 2017 report)
 No, changes are being considered but have not been made
 No

Please explain your response:

DCMA has not implemented records management into the in-processing or out-processing procedures for senior-level employees. Information security is provided to every employee as a part of the agency's annual training.

- 7. Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

- Yes
 No

Please explain your response:

DCMA has begun efforts to fully staff and develop the organization to efficiently support records management functions.

- 8. Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

- Yes
- No

Please explain your response:

Records management training for DCMA employees is currently under development.

- 9. Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

- Yes
- No

Please explain your response:

There has been some auditing of the records management program at DCMA, but no audits have been conducted at other levels of the agency.

- 10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?**

- Yes
- No

Please explain your response:

DCMA will need support from NARA for the transition. Although DCMA has a records management system in development, the agency does not have enough staff with records management expertise to support the transition effort.

APPENDIX F-5

DEFENSE FINANCE AND ACCOUNTING SERVICE



Senior Agency Official for Records Management 2018 Annual Report

The National Archives and Records Administration (NARA) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report demonstrating how agencies are handling important records management initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in managing its records and the transition away from paper to digital formats and to identify best practices and model solutions within Federal agencies.

The reporting period begins on March 11, 2019 with reports due back to NARA no later than April 19, 2019.

NARA plans to post your 2018 SAORM report on the NARA website upon receipt. Please ensure that your agency's report is a publicly releasable version. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. NARA intends to list any non-responding agencies in a summary report and on the website.

Instructions for Reporting

- This template covers progress through December 31, 2018.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the questions/items below and send the report to rmsselfassessment@nara.gov. Include the words "SAORM annual report - [Agency Name]" in the subject line of the email.
- If you are responsible for records management in multiple agencies, components, or bureaus, please determine how you will submit reports to NARA. While NARA prefers a comprehensive report, you may submit separate reports for each component.

Provide the following information (required):

- Name of SAORM Ralph E. Mullins
- Position title Agency Records Program Manager
- Address 8899 E. 56th Street, Column 218R,
 Indianapolis, IN 46249
- Office telephone number 317-212-7775
- Email ralph.e.mullins.civ@mail.mil

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

Please provide list: N/A

2. **Is your agency and its components making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

Yes

Please explain your response:

DFAS management is currently scanning permanent records into an electronic format. The records will be retrievable in PDF media. This process is being used throughout the agency.

3. **Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

Yes

Please explain your response:

DFAS is working to managing all permanent records for the agency electronically to eliminate paper storage and to ensure the records will be stored in a PDF format for electronic transfer to NARA.

4. **As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records

Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

YES

Please explain your response (include specific goals and example metrics):

Senior management officials at DFAS have pushed all directorates to eliminate paper records storage throughout the agency. The information from NARA on no longer accepting paper after Dec 2022 has been known throughout the agency and is incorporated into annual training for all employees and contractors. DFAS is seeing little paper records transfers to NARA for storage in FY17 and FY18.

- 5. Is your agency utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?**

YES

Please explain your response:

- 6. Have you, as the SAORM, established or improved your agency procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?**

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

YES

Please explain your response:

All incoming and outgoing senior officials receive training during the in and out processing briefings on their requirements to safeguard record information. The information covers the restriction of personal email for government work and are briefed on record disposition information and Points of Contacts.

- 7. Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

Yes

Please explain your response:

- 8. Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

YES

Please explain your response:

Training is conducted for the different roles of employees in Records Management. Record Custodians attend annual training by the Site Records Managers and covers all facets of their responsibilities. Senior Officials are given information papers to read to cover control procedures of their records and procedures to request permission to remove any personal papers. All DFAS employees and contractors are required to take Records Management training annually.

- 9. Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

Yes

Please explain your response:

Quarterly Records Management teleconferences incorporate any changes or new procedures to all the nine (9) sites at DFAS. The teleconferences ensure all site Records Managers are aware of the new guidance and integrates the information into the annual training.

- 10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?**

NO

Please explain your response:

DFAS Information and Technology directorate is assisting in making changes to all systems that store records electronically. Building record disposition capability into the systems and also building disposition procedures to eliminate improper disposals.

APPENDIX F-6

DEFENSE INFORMATION SYSTEMS AGENCY

*Senior Agency Official for Records Management
2018 Annual Report
DoD Component Input from the **Defense Information Systems Agency/
JFHQ-DoDIN***

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2018
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- Shannon S. Lawrence
- Agency Records Officer
- PO Box 549 Fort Meade, MD, 20755
- 301-225-4003
- shannon.s.lawrence2.civ@mail.mil

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

******Please note that wherever "DISA" or "the Agency" is referenced, it is understood to also include Joint Forces Headquarters – DoD Information Network (JFHQ-DoDIN) and the associated Command.***

2. **Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

Yes

No

DISA is taking positive steps toward management of all permanent electronic records in electronic format by December 31, 2019. This includes drafting an Agency-wide permanent records policy to ensure that all DISA employees are aware of their records

management responsibilities related to these permanent records. The DISA Records Management team is also working with the Agency Historian and multiple other offices within the Agency to ensure permanent records are transferred timely to the custody of NARA.

- 3. Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

Yes

No

DISA utilizes all NARA recommendations and requirements as the foundation of its record-keeping policies, processes, and practices. DISA has developed and published an overall Records Management Policy and a second policy specifically addressing the handling of permanent records. The DISA Records Management team is also currently developing an Agency Records Management Strategic Plan. These documents align with the requirements published by NARA.

- 4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

The Reform Plan states:

Transition to Electronic Environment: *Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.*

Yes

No

Yes, DISA is taking demonstrable steps to enable the Agency to comply with the 31 December 2022 deadline after which NARA will no longer accept paper records. DISA understands and promotes the benefits of digitizing and maintaining permanent records electronically. The Agency has drafted a policy to ensure that all civilian employees, contractors, and military members assigned to the staff are aware of the requirement for a paperless and more digital government. The Agency will work to implement digitization to the fullest extent possible; recognizing, however, that the Agency has offices with unique missions that fall under the Presidential Records Act (PRA) requiring hard-copies (wet signatures) to be maintained in paper format. DISA is revising policy and

instructions to include guidance for the digitization of permanent records and requirements for Optical Capture Recognition (OCR), minimum of 300 DPI, and appropriate metadata. This revised policy will require that all DISA permanent records be digitized (to the fullest extent possible) and transferred to NARA via the Electronic Records Archives (ERA) system.

5. Is your DoD Component utilizing General Service Administration's Schedule 36 to procure solutions to assist in transitioning to an Electronic Environment?

Yes

No

When soliciting and awarding DISA's records declassification and records management program support Federal Supply Schedule (FSS) task order in FY18, the DISA/Defense IT Contracting Office (DITCO) determined that the most appropriate contract vehicle to utilize in support of the requirement was GSA's FSS for Information Technology Schedule 70 (IT 70). When and if a follow-on award is necessary or additional requirements are anticipated, DITCO will again consider GSA's Schedule 36 as a potential source of supply when determining the best contract vehicle to satisfy the Agency's requirement.

6. Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting the public service, use of personal email, and other recordkeeping requirements?

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

Yes

Changes were unnecessary (click [here](#) for your agency's 2017 report)

No, changes are being considered but have not been made

No

DISA developed, published, and implemented a "Senior Officials Guidance for Records Management" similar to the guidance disseminated to Congress. DISA also implemented several Records Management Awareness campaigns, physically disseminating information to senior officials and employees regarding their records management responsibilities. In addition, the Agency has written and published several articles via the Agency's intranet/Homepage, Dateline DISA, to reinforce the importance of and requirements governing proper records keeping practices for senior officials and all members of the DISA workforce. In addition, DISA has appointed Center Records

Officers (CROs) as direct support to senior officials in their respective organizational areas. The Agency is currently updating training to ensure these CROs are regularly conducting entrance and exit interviews with arriving/transferring/departing senior officials.

- 7. Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

Yes

No

DISA has recently allocated additional civilian staff in support of the Records Management program at the Agency. DISA has a newly hired and trained Agency Records Officer and a Records Management Subject Matter Expert onsite to aid in the management and inculcation of the Records Management program. Additionally, an established Agency Records Management Working Group (RMWG), appointed Center Records Officers, and Records Liaisons across the Agency provide concerted support vital to the administration of the program. The Records Management team works across the Agency to formulate policy, perform strategic analysis and planning, conduct program outreach, coordinate training, develop metrics, and ensure that sound information governance and accountability measures are in place. Efforts are underway to establish the necessary funding for an Agency-wide IT tool to facilitate, standardize, and increase compliance with the records management process.

- 8. Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

Yes

No

Yes; DISA's Agency-wide training covers all requirements outlined in NARA Bulletin 2017-01. DISA has also developed role-based training for appointed records management personnel and senior-level agency officials. Additionally, the Agency routinely publishes resource management related articles and hosts resource management awareness days.

- 9. Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

Yes

No

Yes; DISA continues to use the Manager's Internal Controls Program (MICP) to conduct annual assessments of the Records Management program, to include evaluations determining whether or not each discrete assessable unit of the Agency is properly implementing and complying with records management policies and procedures. Both the Agency Records Officer and Center Records Officers provide input into the evaluation of the program.

10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

Yes

No

DISA absolutely seeks to leverage NARA's guidance and assistance wherever possible to mature and improve its Records Management program.

APPENDIX F-7

DEFENSE LOGISTICS AGENCY

*Senior Agency Official for Records Management
2018 Annual Report
DoD Component Input from < Defense Logistics Agency >*

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2017.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Cecilia Wiker
- Position title: Agency Records Officer
- Address: 74 Washington Ave N, Battle Creek, MI 49037
- Office telephone number: 269-961-4846
- Email: Cecilia.Wiker@dla.mil

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

2. **Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- Yes
 No

Please explain your response:

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

3. Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?

Yes

No

Please explain your response:

DLA began conducting an Enterprise Records FY18 – FY19 that will be used to update the current records schedule and identify permanent records assets, including any legacy records that will require digitizing.

The majority of records and information created within the past 5-10 years were/are created and maintained electronically

4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

Yes

No

Please explain your response (include specific goals and example metrics):

We are in the developmental stages of developing a strategic plan and addressing the requirement with internal stakeholders.

5. Is your DoD Component utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

Yes

No

Please explain your response:

DLA is not currently working to procure a RM solution as we have one; however, I spoke with J7 procurement and if it identified that we need a solution they will use the Schedule 36.

6. **Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?**

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

- Yes
 Changes were unnecessary (click [here](#) for your agency's 2017 report)
 No, changes are being considered but have not been made
 No

Please explain your response:

This requirement is identified in DLA RM policy and is included in the annual mandatory RM training

7. **Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

- Yes
 No

Please explain your response:

DLA established a RIM program in 2016 that is staffed with 20 full-time RIM staff to support the mission areas within the Agency.

8. **Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

- Yes
 No

Please explain your response:

Our current, in-depth, training applies to all agency employees. We are developing Role based training that will be tailored to the various roles IAW with the NARA bulletin.

- 9. Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

- Yes
 No

Please explain your response:

DLA policy requires the Records Managers conduct evaluations for offices within their Component to evaluate their recordkeeping procedures and submit written reports to the Agency Records Officer annually.

- 10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?**

- Yes
 No

Please explain your response:

I contact the DLA NARA Archivist to obtain guidance when I encounter issues with any RM issues.

APPENDIX F-8

DEFENSE SECURITY SERVICE

*Senior Agency Official for Records Management
2018 Annual Report
DoD Component Input from **Defense Security Service***

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2017.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- Ron White
- Records Management Specialist
- 27130 Telegraph Road
- 571-305-6770
- ronald.r.white54.civ@mail.mil

- 1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

- 2. Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- Yes
 No

Please explain your response: The agency is in the process of acquiring a Records Management Application (RMA) that will be capable of pre-accessioning permanent records for transfer to NARA.

3. **Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

Yes
 No

Please explain your response: The agency plan includes the acquisition of a RMA in FY20.

4. **As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

Yes
 No

Please explain your response (include specific goals and example metrics): Our agency currently transfers very few records to NARA. We are exploring options for paper records that are currently transferred, including scanning options at the FRC.

5. **Is your DoD Component utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?**

Yes
 No

Please explain your response: The agency has not yet had an opportunity to procure solutions under GSA Schedule 36.

6. **Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?**

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices

including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

- Yes
- Changes were unnecessary (click [here](#) for your agency's 2017 report)
- No, changes are being considered but have not been made
- No

Please explain your response:

7. **Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

- Yes
- No

Please explain your response: Support and resources for the records management program continues to pose a challenge with the agency merging with NBIB and the CAF. Those agencies do not have their own records management staff, currently DSS only has one person for records management and that person also has several other duties. As of now there are no plans to add any additional staff for records management for the new agency.

8. **Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

- Yes
- No

Please explain your response: Training is performed ad hoc to staff at the headquarters level and at field locations. Training is also given to all new employees quarterly.

9. **Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

- Yes
- No

Please explain your response: The agency has directed the Records Officer to be included in staff assessments and site visits of agency offices to strengthen capabilities, improve operations, identify and mitigate risk, and document and recommend solutions to enhance agency operations.

10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

Yes

No

Please explain your response: More guidance from NARA and the FRC on acceptable formats for transfers of temporary electronic records would be helpful.

APPENDIX F-9

DEFENSE TECHNICAL INFORMATION CENTER

*Senior Agency Official for Records Management
2018 Annual Report*

DoD Component Input from < *Defense Technical Information Center (DTIC)*>

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2017.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Yvette R. Jacks
- Position title: Senior Agency Official
- Address: 8725 John J. Kingman Road, Fort Belvoir, VA 22060
- Office telephone number 571-448-9901
- Email yvette.r.jacks.civ@mail.mil

- 1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

- 2. Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- Yes
 No

Please explain your response: Senior officials use the CAPSTONE schedule; senior officials' email is journaled for ten years in DISA-managed Defense Enterprise E-mail (DEE).

3. Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?

Yes
 No

Please explain your response: DTIC is evaluating electronic records management solutions as a contingency of the Department does not implement an enterprise solution. At this time an independent DTIC ERM is an unfunded requirement.

4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

Yes
 No

Please explain your response (include specific goals and example metrics): DTIC is evaluating electronic records management solutions as a contingency of the Department does not implement an enterprise solution. At this time an independent DTIC ERM is an unfunded requirement. Mitigation: DTIC's records schedule does not currently identify records to be transferred to NARA.

5. Is your DoD Component utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

Yes
 No

Please explain your response: DTIC has met the requirement of M-12-18, Goal 1.1 and 1.2 and DTIC is evaluating electronic records management solutions as a contingency of the Department does not implement an enterprise solution. At this time an independent DTIC ERM is an unfunded requirement. Mitigation: DTIC's records schedule does not currently identify records to be transferred to NARA.

6. Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

- Yes
 Changes were unnecessary (click [here](#) for your agency's 2017 report)
 No, changes are being considered but have not been made
 No

Please explain your response: Senior official training was released in March 2019 to all DTIC. All senior officials are required to take the training. A copy of the training was provided to NARA March 2019.

7. Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))

- Yes
 No

Please explain your response: (1) DTIC's RM program has the full support of DTIC leadership; (2) DTIC is a consumer of enterprise business systems which do not consistently include RM capabilities; (3) DTIC's RM program is not resourced to close these gaps.

8. Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))

- Yes
 No

Please explain your response: All DTIC employees are required to take mandatory RM training. Those with roles in RM are offered RM training at no cost throughout the year.

9. Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?

- Yes
 No

Please explain your response: The direction to implement a process to evaluate and audit the RM program is fully supported by DTIC leadership however execution depends on individual for whom RM roles are a collateral duty.

10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

- Yes
 No

Please explain your response: DTIC is still evaluating electronic records management solutions as a contingency of the Department does not implement an enterprise solution. At this time an independent DTIC ERM is an unfunded requirement. DTIC is open to any assistance NARA might be able to offer.

APPENDIX F-10

DEFENSE THREAT REDUCTION AGENCY

*Senior Agency Official for Records Management
FY 2018 Annual Report
DoD Component input from Defense Threat Reduction Agency*

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2017.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DTRA SAO: Ms. Nancy Reeves-Flores SES
- **Position title:** Director Information Integration & Technology Services/CIO
- **Address:** 8725 John J. Kingman Road - Fort Belvoir, VA 22060
- **Office telephone number:** 571-616-5944
- **Email:** nancy.p.reeves-flores.civ@mail.mil

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

2. **Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

Yes

No

Please explain your response: DTRA continues to make progress towards managing all permanent electronic records in electronic format. Current progress includes identifying and locating permanent records series to ensure data owners are aware of their responsibilities for maintaining paper and electronic records for eventual transfer to

NARA, and monitoring the retirement of legacy applications and servers to verify permanent records are adequately protected and transferred, as appropriate.

3. **Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

- Yes
 No

Please explain your response: To support the Managing Government Records Directive (M-12-18) requirements DTRA currently is utilizing SharePoint2016 as an official document and records repository. This project is only in the pilot stages.

4. **As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

- Yes
 No

Please explain your response (include specific goals and example metrics): DTRA currently in process digitization all permanent electronic records in electronic format particularly those that are frequently referenced and/or that have a lengthy retention period will typically yield the most tangible benefits to an agency.

5. **Is your DoD Component utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes
 No

Please explain your response: The Defense Threat Reduction Agency is making progress in managing permanent records in electronic format. The records management team is working with the Directorates to transfer permanent paper records to electronic format, and storing the records in file folders with the correct series and description per guidance from NARA. The future plan is to migrate to SharePoint 2016 to implementing

records management solutions in the records center site and comply with the mandate to manage records electronically.

6. Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

- Yes
 Changes were unnecessary (click [here](#) for your agency's 2017 report)
 No, changes are being considered but have not been made
 No

Please explain your response: All senior officials receive incoming and outgoing briefings about their records management responsibilities during the year in-processing and out-processing. We also have LMS training for Senior Officials, as well as guidance documented in our records management policy.

7. Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))

- Yes
 No

Please explain your response: DTRA records management team has several resources which offer records management training. Including learning process that enhances the performance of employees though improving practice such as attending courses, conferences, or informal such as attending meetings Formal training includes: The RFM-Team attend

- *Bimonthly Records and Information Discussion Group (BRIDG)*
- *DoD Records Officers Community Meeting*
- *NARA & GSA -Electronic Records Management Industry Day Meeting*
- *Bringing in NARA Appraisal Archivist resources to offer on-site Briefing*
- *Sending staff to attend on-site and off-site training events.*

- 8. Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

- Yes
 No

Please explain your response: DTRA continues improvement records management courses for all

- *All senior officials receive incoming and outgoing briefings about their records management responsibilities during the year in-processing and out-processing. We also have LMS training for Senior Officials, as well as guidance documented in our records management policy.*
- *All personnel, including contractors, incoming and outgoing agency employees receive records management training annually in order to understand their responsibilities in managing DTRA information as records.*

- 9. Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

- Yes
 No

Please explain your response: DTRA continues coordinating the work of the Records Management team with IT team as it relates to electronic systems, specifically the upcoming permanent electronic records goal.

- *Establishing formally approved DTRA Records Management Program Instruction 5015.02*
- *Use of any automated system for capturing mission related electronic records*
- *Provide access based on appropriate security controls to view the records while preventing any further changes from users.*
- *Establishing disposition practices for agency electronic records.*

- 10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?**

- Yes
 No

Please explain your response: NARA's continued commitment to support agencies with expert advice on policies, procedures, guidance and technology issues is invaluable in

ensuring a successful transition to fully electronic recordkeeping. As the federal government progress toward fully electronic recordkeeping, it is critical that the National Archives allow for the transfer of permanent records electronically over the internet for accessioning into the Archives. Timely response to provide disposition authority for Agency's specifics records.

APPENDIX F-11

MISSILE DEFENSE AGENCY

*Senior Agency Official for Records Management
2018 Annual Report
DoD Component Input from [Missile Defense Agency](#)*

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2017.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- Bernard Lecarpentier
- MDA Agency Records Officer / MDA/IC
- Bldg. 5222 Martin Road; Redstone Arsenal, AL 35898
- (256) 450-5280
- bernard.lecarpentier@mda.mil

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

2. **Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- Yes
 No

Please explain your response: [The Missile Defense Agency currently manages all permanent records in electronic format. No permanent records are retained in physical form.](#)

3. Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?

Yes
 No

Please explain your response: The Missile Defense Agency currently manages all permanent records in electronic format. No permanent records are retained in physical form. No obstacles have been identified.

4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

Yes
 No

Please explain your response (include specific goals and example metrics): The Missile Defense Agency currently manages all permanent records in electronic format and most temporary records in electronic format. The only paper temporary records maintained are associated with large on-going contracts that started as paper records. These temporary paper records are not candidates to be transferred to the National Archives and will be destroyed six years after contract closure.

5. Is your DoD Component utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

Yes
 No

Please explain your response:

All backlogged digitization requirements are complete. New, small- batch digitization is performed by Records Liaison Officers within the Office of Record. The MDA maintains an ongoing contract for the secure destruction of physical paper waste.

6. Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

- Yes
- Changes were unnecessary (click [here](#) for your agency's 2017 report)
- No, changes are being considered but have not been made
- No

Please explain your response: Within the Missile Defense Agency, all senior officials received training on their records management responsibilities for the agency.

7. Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))

- Yes
- No

Please explain your response: Within the Missile Defense Agency, the Records Management Directive is reviewed and approved by the Director, and its policies are trained to all agency staff (government, military, and contractor). Additionally, the Agency ensures sufficient resources from all perspectives, including staffing, financial and technology in an effort to adequately support the Agency's Records Program and properly manage any program risks.

8. Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))

- Yes
 No

Please explain your response: The MDA has a Records Management role-based training program that targets all employees (including Federal employees, contractors, senior executives and appointees) and complies with all the requirements in NARA Bulletin 2017-01.

- 9. Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

- Yes
 No

Please explain your response: Within the Missile Defense Agency, we annually ensure compliance by conducting a Records Management Self-Inspection. This supports compliance with all the key elements of the Records Management Program. Additional activities that support compliance include the annual requirement for Records Liaison Officers to refine their organization's records file plans, revalidate appointments, and attend Records Liaison Officer Training.

- 10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?**

- Yes
 No

Please explain your response: The Missile Defense Agency has currently transitioned to electronic recordkeeping.

APPENDIX F-12

OFFICE OF INSPECTOR GENERAL

*Senior Agency Official for Records Management
2018 Annual Report
DoD Component Input from **Office of the Inspector General***

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2017.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- Questions #2-10 require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact Thomas Jenkins
- Position title Information Governance Officer
- Address 4800 Mark Center Drive, Alexandria, VA
- Office telephone number 703-699-9913
- Email thomas.jenkins@dodig.mil

- 1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

- 2. Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- Yes
 No

Please explain your response:

- DoD OIG is developing and implementing policies to configure an automated electronic recordkeeping system to manage the full life-cycle, including the disposition of permanent electronic records.

- DoD OIG OCIO is currently revising and updating IG Instructions (policies) relating to electronic messages, online information, and managing electronic information to ensure records are managed consistently across various media and formats. The DoD OIG will publish these policies by the end of 2019.
- DoD OIG OCIO is configuring the automated recordkeeping system to properly identify, categorize, copy, index, store, retrieve, transfer, and delete records on shared drives and SharePoint sites according to established business rules and various laws.
- DoD OIG OCIO is developing an agency-wide functional records schedule commensurate with the automated recordkeeping system.

3. **Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

- Yes
 No

Please explain your response:

DoD OIG is taking actions to develop high-level policies, train personnel on their portion of responsibilities, ensure incorporate records management requirements into systems and contracts, identify and transfer eligible permanent records to NARA. DoD OIG is currently performing many of the operational activities identified within the criteria while complying with its requirements. Additionally, DoD OIG is instituting automated records and information processes that will effectively and efficiently capture, store, share, retrieve, dispose, and transfer official records with minimal user interaction.

4. **As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

- Yes
- No

Please explain your response (include specific goals and example metrics): DoD OIG is taking actions to develop high-level policies, train personnel on their portion of responsibilities, ensure incorporate records management requirements into systems and contracts, identify and transfer eligible permanent records to NARA. DoD OIG is currently performing many of the operational activities identified within the criteria while complying with its requirements. Additionally, DoD OIG is instituting automated records and information processes that will effectively and efficiently capture, store, share, retrieve, dispose, and transfer official records with minimal user interaction.

5. Is your DoD Component utilizing General Service Administration’s Schedule 36 to procure solutions to assist in transitioning to an Electronic Environment?

- Yes
- No

Please explain your response: DoD OIG has already procure solutions to assist in transitioning to an Electronic Environment

6. Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

- Yes
- Changes were unnecessary (click [here](#) for your agency’s 2017 report)
- No, changes are being considered but have not been made
- No

Please explain your response: DoD OIG is taking actions to develop high-level policies, train personnel on their portion of responsibilities, ensure incorporate records management requirements into systems and contracts, identify and transfer eligible permanent records to NARA. DoD OIG is currently performing many of the operational activities identified within the criteria while complying with its requirements. Additionally, DoD OIG is instituting

automated records and information processes that will effectively and efficiently capture, store, share, retrieve, dispose, and transfer official records with minimal user interaction.

7. Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))

- Yes
 No

Please explain your response:

8. Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))

- Yes
 No

Please explain your response: DoD OIG implemented a role-based records management training program by developing training for senior officials, attorneys, and Federal employees, including contractors.

9. Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?

- Yes
 No

Please explain your response: DoD OIG is taking steps to identify and document how well the agency is meeting basic program and recordkeeping requirements, including audit steps for records scheduling, maintenance, storage, disposition and electronic records management. DoD OIG goal is to perform an annual evaluation.

10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

- Yes
 No

Please explain your response: At this time, DoD OIG does not need additional support from NARA and is taking actions to ensure a successful transition to fully electronic recordkeeping.

APPENDIX F-13

NATIONAL GUARD BUREAU

*Senior Agency Official for Records Management
2018 Annual Report
DoD Component Input from **National Guard Bureau***

The DoD Senior Agency Official for Records Management (SAORM) will be submitting the annual report to the National Archives and Records Administration (NARA) as required by the [OMB/NARA Managing Government Records Directive \(M-12-18\)](#).

Instructions for Reporting

- This template covers progress through December 31, 2017.
- Question #1 will be answered by the DoD SAORM and does not require DoD Component input.
- **Questions #2-10** require all DoD Components to provide a response.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please ensure that your Component's response is a publicly releasable version as NARA posts SAORM reports to the NARA website.

Provide the following information (required):

- DoD Component Point of Contact: Myron Wong
- Position title: NGB Records Program Manager
- Address: 111 S. George Mason Drive, 5TS-200, Arlington, V A 22204
- Office telephone number: (703) 607-0566
- Email: myron.f.wong.civ@mail.mil

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

2. **Is your DoD Component making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- Yes
 No

Please explain your response:

I assumed the responsibilities as the National Guard Bureau Records Program Manager, and the program is largely non-existent and significantly non-compliant. The Army National Guard's and the Air National Guard's Records Management Program are well

established with supporting regulations and procedures. My first priority is to stand-up a compliant National Guard Bureau Records Management Program, specifically for the Joint Staff. Following that, I hope to adopt the same Electronic Records Management Application that is in use by the Army National Guard for the National Guard Bureau Joint Staff, which is known as Army Records and Information Management System, also known as ARIMS, given it is a Government Off The Shelf solution that is already in use by the Army National Guard. During a recent National Archives and Records Administration inspection of the National Guard Bureau's Records Management Program, both the ARIMS and the Air National Guard's Air Force Records and Information Management System, or AFRIMS, were reviewed by the National Archives inspection team, and ARIMS was determined to be the more capable of the two Government Off The Shelf applications. This represents a shift from an initial intent to pursue the use of same Commercial Off The Shelf application in use by the Pentagon Joint Staff, given that Commercial Off The Shelf application would require acquisition and maintenance funding. The Army National Guard would continue to use ARIMS, and the Air National Guard would continue to use AFRIMS.

3. Has your DoD Component implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?

- Yes
 No

Please explain your response:

I assumed the responsibilities as the National Guard Bureau Records Program Manager, and the program is largely non-existent and significantly non-compliant. The Army National Guard's and the Air National Guard's Records Management Program are well established with supporting regulations and procedures. My first priority is to stand-up a compliant National Guard Bureau Records Management Program, specifically for the Joint Staff. Following that, I plan to address this electronic records management requirement.

4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your DoD Component developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:

Transition to Electronic Environment: *Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.*

Yes

No

Please explain your response (include specific goals and example metrics):

I assumed the responsibilities as the National Guard Bureau Records Program Manager, and the program is largely non-existent and significantly non-compliant. The Army National Guard's and the Air National Guard's Records Management Program are well established with supporting regulations and procedures. My first priority is to stand-up a compliant National Guard Bureau Records Management Program, specifically for the Joint Staff. Following that, I plan to address this electronic records management requirement.

My intent is to establish a Records Management service contract team to focus on the National Guard Bureau Joint Staff initially for compliance, and then more broadly for the National Guard Bureau overall. My intent is to achieve full compliance by December 31, 2020.

5. Is your DoD Component utilizing General Service Administration's Schedule 36 to procure solutions to assist in transitioning to an Electronic Environment?

Yes

No

Please explain your response:

I assumed the responsibilities as the National Guard Bureau Records Program Manager, and the program is largely non-existent and significantly non-compliant. The Army National Guard's and the Air National Guard's Records Management Program are well established with supporting regulations and procedures. My first priority is to stand-up a compliant National Guard Bureau Records Management Program, specifically for the Joint Staff. Following that, I plan to address this electronic records management requirement.

My intent is to establish a Records Management service contract team to focus on the National Guard Bureau Joint Staff initially for compliance, and then more broadly for the National Guard Bureau overall. My intent is to achieve full compliance by December 31, 2020.

6. Has your DoD Component established or improved procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

- Yes
- Changes were unnecessary (click [here](#) for your agency's 2017 report)
- No, changes are being considered but have not been made
- No

Please explain your response:

I assumed the responsibilities as the National Guard Bureau Records Program Manager, and the program is largely non-existent and significantly non-compliant. The Army National Guard's and the Air National Guard's Records Management Program are well established with supporting regulations and procedures. My first priority is to stand-up a compliant National Guard Bureau Records Management Program, specifically for the Joint Staff. Following that, I plan to address this senior officials incoming and outgoing briefings. I have implemented an incoming newcomers records management briefing.

My intent is to establish a Records Management service contract team to focus on the National Guard Bureau Joint Staff initially for compliance, and then more broadly for the National Guard Bureau overall. My intent is to achieve full compliance by December 31, 2020. Once the Records Management service contract team is established, my intent is to develop and implement this senior level incoming and outgoing briefing requirement.

7. Has your DoD Component ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))

- Yes
 No

Please explain your response:

Yes, our senior leadership is supportive of the effort to establish a Records Management service contract team in support of the development and implementation of a compliant Records Management Program for the National Guard Bureau Joint Staff initially, and then more broadly to the National Guard Bureau beyond that. The Army National Guard's and the Air National Guard's Records Management Program are well established with supporting regulations and procedures.

8. Has your DoD Component implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))

- Yes
 No

Please explain your response:

I assumed the responsibilities as the National Guard Bureau Records Program Manager, and the program is largely non-existent and significantly non-compliant. The Army National Guard's and the Air National Guard's Records Management Program are well established with supporting regulations and procedures. My first priority is to stand-up a compliant National Guard Bureau Records Management Program, specifically for the Joint Staff. Following that, I plan to address this roles based training requirement. I have implemented an incoming newcomers records management briefing.

My intent is to establish a Records Management service contract team to focus on the National Guard Bureau Joint Staff initially for compliance, and then more broadly for the National Guard Bureau overall. My intent is to achieve full compliance by December 31, 2020. Once the Records Management service contract team is established, my intent is to have Records Liaisons and Records Custodians established at the directorate and division levels, and to have roles based training for those liaisons and custodians.

9. Has your DoD Component taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?

- Yes
 No

Please explain your response:

Yes, following a recent National Archives and Records Administration inspection of the National Guard Bureau's Records Management Program, including the Army National Guard, Air National Guard, and Joint Staff at the National Guard Bureau, and that included a sampling of a number of Army National Guard and Air National Guard units, we now have an approved National Archives Inspection Plan of Corrective Action regarding that recent inspection. That Inspection Plan of Corrective Action will be updated with the National Archives Inspection Team every six months until all of the findings are closed. In addition to the Inspection Plan of Corrective Action, the Records Management Program is being tracked by leadership as part of the Annual Statement of Assurance as it relates to the Manager's Internal Control Program.

10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

- Yes
 No

Please explain your response:

I assumed the responsibilities as the National Guard Bureau Records Program Manager, and the program is largely non-existent and significantly non-compliant. The Army National Guard's and the Air National Guard's Records Management Program are well established with supporting regulations and procedures. My first priority is to stand-up a compliant National Guard Bureau Records Management Program, specifically for the Joint Staff. Following that, I plan to address this electronic records management requirement.

My intent is to establish a Records Management service contract team to focus on the National Guard Bureau Joint Staff initially for compliance, and then more broadly for the National Guard Bureau overall. My intent is to achieve full compliance by December 31, 2020.