



Senior Agency Official for Records Management 2020 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.

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

The reporting period begins on January 19, 2021, and reports are due back to NARA no later than March 19, 2021.

NARA plans to post your 2020 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- 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 2020 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: [Rocky Campione](#)
- Position title: [Chief Information Officer](#)
- Address: [1000 Independence Ave., SW, Suite 8H-085, Washington, DC 20858](#)

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

Please provide a list, and also indicate any that are new or have been changed due to reorganization or other circumstances.

The Department of Energy (DOE) is a diverse agency, and this report will cover approximately 100 major Headquarters Program and Staff Offices; Operations, Field, and Site Offices; and Laboratories and Technology Centers—all of which are listed at [Department of Energy: About Us](#).

Five DOE Elements have separately designated SAORMs and will respond independent of this report. They are the National Nuclear Security Administration and the four Power Marketing Administrations: Bonneville Power Administration, Southeastern Power Administration, Southwestern Power Administration, and the Western Area Power Administration.

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

- Yes
 No
 Do not know

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

COVID-19 has interrupted and delayed some important records management projects, particularly those that require physical access to records. This includes the project undertaken in late 2019 to send approximately 3000 CF of overdue permanent records as part of the DOE Historian's collection to NARA. Our team's access to the collection was halted, and the NARA FRCs were not accepting records for most of the period. COVID-19 has had some interesting positive program impacts as well: as the DOE workforce began working from home, it has accelerated the pace of electronic records management activities and highlighted the need for prioritizing electronic recordkeeping solutions. Digital signatures became the norm across the Department as well.

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

- Yes
 No
 Do not know

Please provide details on what support is needed:

DOE RM and DOE CDO align in the information governance framework, which promotes the management of data as a DOE resource and supports the adherence to federal records management best practices. The SAORM and CDO meet regularly, and RM staff is included in those meetings.

4. Has your agency made progress towards managing all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)

- Yes
 No
 Do not know

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

DOE explicitly addressed this requirement in the DOE IRM Strategic Plan 2018-2022, goal 4.5, and in the DOE Records Management Strategic Plan 2019-2022, goal 3. DOE is working to meet the deadline by engaging in multiple efforts including targeted training, outreach, direct support to modernize legacy business processes, and working Department wide with records custodians, owners, and IT service providers.

The DOE RM program is prioritizing the support for the electronic records lifecycle updates required to meet the 2022 objective. DOE is working with targeted organizations to migrate their existing records in shared drives to SharePoint online, where they will be managed electronically. This involves identifying and migrating records to the new environment while disposing of all non-record or expired records that are no longer needed for business use. DOE will apply records retention policies to document libraries, allowing the automation of RM processes. Identifying records in this manner will permit DOE to perform necessary retention functions.

Further efforts include:

- Transferring permanent paper records to Federal Records Centers prior to 2022;
- Rolling out Office 365 ERM strategy in production for unstructured content, cleaning up files shares and home drives, and aligning all systems with a baseline set of ERM requirements; and

- Exploring a Cloud-based long-term preservation archive that includes permanent records prior to their transfer to NARA.

5. Has your agency made progress towards managing all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)

- Yes
 No
 Do not know

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

DOE is fully addressing this goal by implementing the use of O365 capabilities and cloud storage. DOE is working closely with Energy Information Technology Services (EITS) to coordinate governance on records as they are transitioned from a shared drive environment to a SharePoint environment, and addressing records management-related issues such as orphan information, identifying recordkeeping storage locations, and applying retention schedules to migrated information. File plans and retention policies applied in SharePoint libraries that map to individual records schedules will continue to support DOE's objective to fully manage the retention of temporary records in an electronic format with the ability to perform record disposition functions and ultimately eliminate paper records from work processes.

DOE is identifying native capabilities to manage records and systems stored in cloud environments. We are working with IT service providers to identify systems migrated to the cloud, or in the process of being migrated. These systems will be assessed for records management requirements and will manage the records in the cloud environments in which they reside.

DOE is concurrently working to update the System Development Life Cycle (SDLC) process to include records management forms and Universal Electronic Records Management (UERM) requirements. DOE is also incorporating RM requirements into the ATO process.

6. Is your agency investing resources in IT to support the transition to electronic recordkeeping?

- Yes
 No
 Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

DOE is investing in new solutions to help with the management of records in O365. These include:

- AvePoint: a solution that will help auto-provision SharePoint sites with preconfigured records management metadata such as records schedules
- Seek Tool: used to crawl existing shared drives to identify records that are non-record, transitory, or longer-term records with a high-level of interest, such as those with PII.

In addition, RM is investing in Big Data Cloud technology to implement a long-term preservation archive. This latest investment addresses both structured and unstructured content with transformation services to preserve data over time.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your agency have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
 No
 Do not know

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

DOE currently uses NARA approved commercially contracted records storage facilities, DOE operated (NARA approved) storage facilities, and the NARA Federal Records Centers. DOE is in the process of developing a plan to replace agency operated records centers, but many challenges persist. We are developing an agency plan to address the remaining agency record centers and hope to have it complete by FY22.

8. Does your agency have policies and procedures that include documentation to ensure records of newly appointed and outgoing senior officials* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?

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

- Yes
 No
 Do not know

Please explain your response (include specific details of policies and procedures):

DOE utilizes GRS 6.1: *Email Managed under a Capstone Approach*. DOE has an approved form NARA form 1005 (NA-1005), *Verification for Implementing GRS 6.1* and is currently in the process of verifying and updating positions as needed. In addition, individuals holding high level official (HLO) positions are tracked in the executive essential onboarding sessions, where they receive Capstone training.

Capstone has been implemented in Exchange Online and Teams to preserve HLO communications. Controls are being implemented for other HLO records contained in O365. HLO files are also being captured in the Electronic Document Online Correspondence and Concurrence System (eDOCS). eDOCS manages HLO records in electronic format to the required records schedules.

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

- Yes
 No
 Do not know

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

DOE has begun to shift its record-keeping practices from paper to electronic format. This has required updating business procedures that will ultimately drive a complete record lifecycle in electronic form. This will require changing employees' recordkeeping habits to favor use of electronic recordkeeping practices. DOE programs need to identify and update business processes that rely on the use of paper records (e.g., forms completion and documents currently requiring wet signatures, etc.) and accomplish these needed changes. Processes are being updated, where possible, to automated digital workflows that ensure records begin and end their lifecycle in electronic form. Many of the challenges to the goal of fully electronic recordkeeping are starting to be addressed and the momentum around the ERM strategy is accelerating across the agency.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes
 No
 Do not know

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

DOE has several challenges that could be supported by assistance from NARA. The automation of HLO position tracking at the federal level through updated HR processes identifying all federal HLO positions, which would replace the unsupportable spread sheet, word-of-mouth method we are using today would be very helpful in ensuring these records are

properly captured. We also believe the management of SMS/text messages used on Government phones that reside on carrier owned networks should be addressed by NARA. Currently, it is difficult to manage these records as they do not reside on a federal network.