



Senior Agency Official for Records Management 2022 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 (OMB) and NARA issued a memorandum, *Transition to Electronic Records* ([M-19-21](#)), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines.

On December 23, 2022, OMB and NARA issued a new memorandum, *Update to Transition to Electronic Records* ([M-23-07](#)) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33.

This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

The reporting period begins on January 9, 2023, and reports are due back to NARA no later than March 10, 2023.

NARA plans to post your 2022 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 on our website.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- 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 2022 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.

NARA may follow up with agencies to obtain additional information and/or documentation related to responses provided in the template.

As in previous years, we will be validating selected questions and responses from agencies. Your agency may be selected at random to provide additional documentation and/or take part in interviews to discuss your records management program activities.

Provide the following information (required):

- Name of SAORM: Ann E. Dunkin
- Position title: Chief Information Officer
- Address: 1000 Independence Ave. SW
Washington DC 20585

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 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: Site list.

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

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

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

As the DOE workforce continues a robust telework schedule, working from home has accelerated the pace of electronic records management activities and highlighted the need for prioritizing electronic recordkeeping solutions. Fully digital forms and signatures became the norm across the Department as well.

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

- Yes
- No
- Do not know

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

DOE explicitly addressed this requirement in the DOE IRM Strategic Plan 2018-2022, goal 4.5, and the successor IRM strategic plan will continue to stress the importance of records management. 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 2024 objective. DOE is working with targeted internal organizations to migrate their existing records in shared drives to SharePoint online, where the system will manage federal records electronically. This involves identifying and migrating records to the new or updated SharePoint sites, 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. DOE is also fully engaged in the necessary retention functions related to our paper records collections.

Further efforts include:

- Transferring permanent paper records to Federal Records Centers prior to 2024.
- Continuing the migration of records to the M365 ERM strategy into production for unstructured content, cleaning up files shares and home drives, and aligning all systems with a baseline set of ERM requirements; and
- Exploring the potential use of a Cloud-based long-term preservation archive that includes permanent records prior to their transfer to NARA.

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

- Yes
- No
- Do not know

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

DOE is implementing an approach to achieve full electronic records management. We are handling the requirement holistically for both temporary and permanent electronic records. We are working at the office level to bring individual offices into compliance, and that approach includes all the federal records created or managed in each office.

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

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

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

DOE currently uses a combination of NARA-approved commercially contracted records storage facilities, DOE operated (NARA approved) storage facilities, and the NARA Federal Records Centers. DOE has very long-term temporary analog records, to include paper records that are still in active use. While DOE expects to significantly reduce our paper records holdings, we will require some of our agency operated records centers to remain. We will be identifying these locations and requesting an exemption as the deadline approaches for M-23-07.

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

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

- Yes
 No
 Do not know

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

Within the DOE, the CDO and the Zero Trust Architecture lead for the Data Pillar, as well as the entire ZTA working group, the records Officer and RM staff, the Chief Privacy Officer and CUI Program Manager meet regularly and collaborate on the data environment. Each business area has key touchpoints with the others, and we are working as a team to meet the federal requirement for data across all lines of business. A key to meeting the objectives of M-19-18 as well as M-23-07 is broad training on data requirements for all DOE employees.

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

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

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- Yes
 - No
 - Do not know

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

DOE implemented the Capstone approach for email in 2022 at the Headquarters and Major Programs, and the majority of our sites are compliant. Sites that have not yet implemented Capstone are preserving all email. We have created an internal DOE policy instruction for managing text messages in mobile applications such as What's App, and Signal. We are managing the teams chats within the M365 environment as federal record. We are currently looking for a solution to capture carrier based GFE phone text messages. Voice mail messages are integrated into email.

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

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

- Yes
- No
- Do not know

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

DOE is using a discovery tool to identify records within unstructured data locations. The tool uses cognitive technology which we augment with a fully verified file plan to ensure an accurate assessment of the record environment.

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

- Yes
- No
- Do not know

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

As the SAORM, I am directly engaged in in the Records Management Program for the DOE. My Staff and I regularly meet with the Departmental Records Officer. I brief my counterparts and senior DOE leadership on the importance of records management and the steps we need to accomplish to become compliant with M-23-07. There is significant support throughout the Department for records management and the transition to electronic records management. DOE is actively engaged in a multipronged approach to handle both the legacy of paper and analog records as well as the gap we face in achieving a fully electronic records management environment. We have increased the budget for the records program and added more support personnel who are directly engaged at the program level, assisting programs in the transition to full compliance with electronic records management.

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

- Yes
- No
- Do not know

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

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

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- Yes
 - No
 - Do not know

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

We would like to see a more frequent schedule of SAORM roundtable meetings.