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 rmselfassessment@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: **James Wolff**
- Position title: **NNSA Chief Information Officer**
- Address: **1000 Independence Ave., SW Suite 1I-054, 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?**

   National Nuclear Security Administration (NNSA), a semi-autonomous element under the US Department of Energy (DOE).

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?**

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

   NA

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

NNSA continues to take actions to preserve permanent records electronically that will support transfer of permanent records to NARA as identified in the approved schedule(s). Actions include procurement of a compliant electronic records management solution which is in the initial pilot implementation phase. The solution has the capabilities to transfer permanent records and metadata to NARA in electronic format. In addition, NNSA continues towards achieving this goal by collaborating with DOE to address shared drive migration into SharePoint online and integrating the ability to manage records in that environment.

4. **Has your agency taken action to meet the goal to manage and preserve all <u>temporary</u> 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

NNSA continues to take actions to preserve temporary records in electronic format. Actions include procurement of a compliant electronic records management solution which is in the initial pilot implementation phase. In addition, NNSA continues towards achieving this goal by collaborating with DOE to address shared drive migration into SharePoint online and integrating the ability to manage records in that environment.

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

NNSA continues to take actions to close agency-operated records storage facilities. An updated analysis is being prepared to determine the remaining volume of hardcopy/analog records that remain at these facilities and develop an updated plan to transfer/digitize remaining holdings to meet the due date June 30, 2024.

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

    These policies and procedures are under development. Additional actions taken include hiring two Data Scientist.

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)

    ☐ Yes
    ☐ No
    ☐ Do not know

    NNSA and DOE capture/manage email and electronic messages (Teams) in Outlook and O365.

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

    NNSA Office of the Chief Information Officer is exploring automated technology to include Artificial Intelligence and other learning technologies. As this research matures additional capabilities will be explored as well.

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

    In addition to the NARA Annual Assessments the SAORM and NNSA collaborate with DOE to assess statutes, regulations, and requirements. DOE Order 243.1c has been updated to further define the role and responsibilities of the SAORM. Supplemental policies, directives, and procedures are being developed to align with the requirements. In the future assessments will be conducted to determine compliance levels and identify areas of improvement and mitigation as necessary.

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

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

    ☐ Yes
    ☐ No
    ☐ Do not know