



Senior Agency Official for Records Management 2021 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. 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 records keeping and preservation under both these requirements, as well as other important records management initiatives.

The reporting period begins on January 10, 2022, and reports are due back to NARA no later than March 11, 2022.

NARA plans to post your 2021 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 records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2021, 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 2021 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: Ann Dunkin
- 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, with a diffuse enterprise spread across the Nation. This report will cover approximately 100 major Headquarters Program and Staff Offices; Operations, Field, and Site Offices; and Laboratories and Technology Centers.

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 impacted 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 efforts, 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 forms and signatures became the norm across the Department as well.

3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)

- Yes

- No
- Do not know

Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.

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 CDO position, which is currently vacant, reports to the SAORM. Efforts to fill the position are well underway, and once the CDO position is filled, the incumbent will meet regularly with RM staff.

4. Will your agency meet the goal to manage and preserve 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, example metrics, and/or challenges):

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 the potential use of a Cloud-based long-term preservation archive that includes permanent records prior to their transfer to NARA.

5. Will your agency meet the goal to manage and preserve 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, example metrics, and/or challenges):

DOE is fully addressing this goal through the use of the Microsoft M365 Compliance Center toolset. DOE is working closely with Energy Information Technology Services (EITS) to coordinate ERM capabilities and governance on federal records as they are transitioned from a shared drive environment to a SharePoint Online environment. During this process, DOE will review all records and information migrating for records management-related issues and will apply the appropriate retention schedules. DOE will also develop SharePoint libraries that will map to individual records, and the proper retention schedules will be applied. This ongoing effort 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, a necessary precondition to completely eliminate paper records from work processes.

DOE is identifying native as well as system-based capabilities to manage records stored in cloud-based environments. We are working with IT service providers to identify systems which are being assessed for records management compliance.

DOE has updated the System Development Life Cycle (SDLC) process to include records Universal Electronic Records Management (UERM) requirements. DOE is also incorporating RM requirements into the systems security ATO process.

6. Does your agency have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?

- Yes
- No
- Do not know

Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.

While DOE has made much progress in meeting the goals of M-19-21, the impact of the COVID 19 pandemic is undeniable. Due to both DOE's and NARA's operating status in the FYs 2020 and 2021, many sites have fallen behind in the efforts to move paper records to either the FRC or to transfer permanent records maintained on site to NARA as a direct offer. Accordingly, DOE will formally request a waiver to the M-19-21 deadlines.

7. Is your agency utilizing the General Services Administration’s Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment?

- Yes
- No
- Do not know

Please explain your response. If ‘Yes,’ please include specific examples and how this will support records management processes. If ‘No’ or ‘Do not know,’ please explain.

DOE is under a sub-contract to Millican, a GSA certified records management contractor identified under the GSA 518210 ERM SIN category. DOE has been planning an ERM strategy since 2018, and is in pre-deployment phase of that strategy. The strategy includes the use of Office 365 tools and capabilities to manage records in electronic format, throughout the records lifecycle.

8. Has your agency developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?*

- Yes
- No
- Do not know

**M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

Please explain your response. If ‘Yes,’ provide details about the use of commercial storage and other changes related to storage. If ‘No’ or ‘Do not know,’ please explain.

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 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 the end of FY22.

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 processes that will ultimately drive a complete record lifecycle in electronic format. The records management team is developing strategies to change employees' recordkeeping habits to favor use of electronic methods. 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.) to accomplish needed changes. DOE is updating processes, where possible, to create automated digital workflows that ensure records begin and end their lifecycle in electronic form. The department is addressing many of the outstanding challenges to the goal of fully electronic recordkeeping, and the momentum around the ERM strategy is accelerating across the agency.

10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?

- 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 some challenges that could be supported by assistance from NARA.

NARA should acknowledge the impact of COVID-19 by extending the deadlines established in OMB-M-19-21.

NARA could also assist agencies by replacing the antiquated, and word-of-mouth, spreadsheet for tracking HLOs with an automated, USG-wide HLO tracker.