



Senior Agency Official for Records Management 2023 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 8, 2024, and reports are due back to NARA no later than March 8, 2024.

NARA plans to post your 2023 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:

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- 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 2023 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

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.

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. Will your agency 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
 Not applicable, all records are in electronic format

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

Due to the volume of permanent paper records and the lack of available resources, DOE will not meet the requirement across the entire Department. We have made significant progress in key areas.

3. Will your agency 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
 Not applicable, all records are in electronic format

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

Due to the volume of temporary paper records and the lack of available resources, DOE will not meet the requirement. We have made significant progress. Some elements within DOE are choosing to digitize paper records, rather than moving them to an FRC.

4. 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 by June 30, 2024? (Choose all that apply)

- Yes
 No
 Not applicable, my agency does not have agency-operated records storage facilities
 Not applicable, all records are in electronic format

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

Agency-operated records storage facilities are built into long-term M&O contracts. Removing these requirements from the contracts will require more time than the deadline allows. DOE records storage facilities represent a cost-effective approach for the management of legacy paper-based records and often the digitization requirements are executed within these facilities. DOE also has long-term temporary records spanning up to a 250-year retention.

5. Will your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 and transfer inactive records to a NARA Federal Records Center (FRC) or commercial storage facilities by June 30, 2024? (Choose all that apply)

- Yes, we will transfer to the FRC
- Yes, we will transfer to commercial storage facilities
- No
- Not applicable, all records are in electronic format

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

While DOE currently uses a combination of NARA-approved commercially-contracted records storage facilities and the NARA Federal Records Centers, we also maintain DOE-operated NARA-approved storage facilities.

6. Does your agency have a Data Management Strategy that includes records management principles? (<https://www.archives.gov/files/records-mgmt/resources/cdo-rm-assessment-report.pdf>)

- Yes
- No

Please explain your response.

The DOE Data Management Strategy is currently under review and still in progress.

7. In your role as SAORM, do you meet with your Agency Records Officer(s) to discuss the agency records management program's goals?

- Yes
- No
- Not applicable, my agency does not currently have a designated Agency Records Officer

Please explain your response. (If 'Yes,' please include how often, a description of topics, and outcomes of these meetings. If 'No,' please explain why not.)

The SAORM and Departmental Records Officer (DRO) meet regularly to discuss records topics ranging from the departure of high-level officials, overdue transfers of permanent records throughout the department, classification reviews of classified records, and the status of Electronic Records Management (ERM) projects within the department.

8. Has your agency incorporated NARA's digitization standards into your Information Resource Management (IRM) Strategic Plan? (44 U.S.C. 3506(b)(2) and OMB Circular A-130)

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- Yes
 - No
 - Not applicable, my agency is not currently digitizing records

Please explain your response. (If 'Yes,' what steps have been taken? If 'No,' why not?)

The updated DOE IRM Strategic Plan is currently in process. Records Management requirements will be prioritized in the next DOE IRM Strategic Plan.

9. Does your agency have a social media strategy that includes capturing and maintaining records in accordance with records management statutes and regulations?

- Yes
- No

Please explain your response.

Social media accounts are managed by the Office of Public Affairs on behalf of the Department. The records are managed in line with the appropriate records management retention schedule.

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

- Yes
- No

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

DOE would benefit if NARA could consider an extension to the deadline of closing agency-operated records storage facilities. DOE has been working to develop a plan to consolidate agency-operated records storage facilities as the volume of physical records reduces over time. DOE cannot currently support the June 2024 deadline and will not be able to support a deadline for many years.