NATIONAL ARCHIVES

OFFICE *of the* CHIEF RECORDS OFFICER

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 <u>January 13, 2020</u>, with reports due back to NARA no later than <u>March 13, 2020</u>.

NARA plans to post your 2019 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, 2019.
- 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 2019 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 also indicate any that are new or have been changed due to reorganization or other circumstances.**

   Please provide list:

   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 https://www.energy.gov/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. **Is your agency managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

   ☐ Yes
   ☒ No

   Please explain your response:

   DOE continues to address the capture and management of permanent electronic records across all information systems, including messaging systems such as email. This effort promotes a common Records Management (RM) framework designed to help successfully transition to fully electronic RM environment. One challenge in this area is that some permanent DOE schedules are not yet media neutral. A systems review and records scheduling effort is in progress. The records scheduling project is further associating DOE retention schedules with NARA's GRS to consolidate schedules.

   DOE is implementing a strategy to manage permanent electronic records across all systems. This strategy includes a baseline set of electronic RM requirements for all

systems to comply with as part of the systems development lifecycle (SDLC). These baseline requirements have been mapped to NARA's UERM requirements matrix.

3. **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

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

   DOE has 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 has begun a targeted shared drive clean up to properly identify and schedule electronic records, and then to migrate these records to a RM supported platform such as SharePoint online. DOE will apply records retention policies to document libraries, thereby allowing the automation of RM processes. Identifying records in this manner will permit DOE to perform necessary retention functions.

   Further efforts include the transfer of permanent paper records to Federal Records Centers prior to 2022.

   DOE is an active participant in the NARA electronic records management working group; DOE has briefed the working group at least 3 times on various aspects of electronic RM. By presenting the DOE strategy of utilizing emerging technologies to further our RM footprint DOE will be better positioned to fulfil the requirements of M-19-21, 1.2.

4. **Has your agency made progress towards managing all <u>temporary</u> records in electronic format? (M-19-21, 1.3)**

   ☒ Yes
   ☐ No

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

   DOE is addressing this goal by exploring and implementing the use of O365 capabilities and cloud storage to the fullest extent. DOE is transitioning from a shared

drive environment to our HQ O365 SharePoint online, which will allow for organizational file plans to be incorporated in organizational document libraries. File plans and retention policies applied in these libraries will support DOE's objective fully managing retention of temporary records in an electronic format with the ability to perform record retention/disposition functions and ultimately eliminate paper records from work processes.

This effort includes partnering with IT service providers to identify legacy systems and to update or migrate systems thereby enabling preservation, scheduling and proper disposition of federal records. We have had some limited success with systems upgrades in the software development life cycle (SDLC) process.

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)**

☒ Yes
☐ No

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

DOE has addressed this requirement in the DOE IRM Strategic Plan 2018-2022, 4.5: *Modernize The Department's Federal Records And Information Management Approach To Achieve Electronic Records Management To The Fullest Extent Possible.* The Department is transitioning to fully-electronic recordkeeping in accordance with the objectives of the NARA 2018-2022 Strategic plan. The Department will transition federal recordkeeping to a fully-electronic environment in order to reduce costs and create efficiencies, while increasing appropriate and timely access to records and information. Included in this effort are updated digital forms management, and enterprise-level business process redesign, working to ensure all federal records and information processes are born digital and remain digital throughout the records lifecycle.

6. **If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)**

☐ Yes
☒ No

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

The DOE operates five NARA compliant agency records storage facilities and has utilized three additional commercial venues. These centers have been approved for use

by NARA as meeting the requirements of 36 CFR 1234.10 - 1234.14. DOE operates a number of additional records holding facilities. Work is in progress to update our inventory of all current agency operated records holding facilities. Additionally, we will begin agency planning to manage the current holdings in all records facilities and will develop plans to close these facilities. Work is currently underway at several DOE locations to move paper records into the FRC or to transfer holdings to NARA as direct offers.

The RM program through its *The Records Bulletin* (TRB) ed. 190719-1 on July 19, 2019 last queried agency records officials concerning the use of records storage facilities, and a 2020 update is planned. DOE will assess agency record centers to determine the best, fiscally responsible alternatives based on continued cost of operating these onsite centers. DOE will be seeking exemptions on a case-by-case basis until such time as we meet the requirements of M-19-21, 1.3.

7. **Does your agency have procedures that include documentation to ensure records of 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

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

   DOE's Senior Leadership's records (S1, S2, S3, and S4) are managed by the Office of the Executive Secretariat. This office is responsible for ensuring the records of these senior officials are captured, inventoried, and stored in accordance with DOE RM practices. Departing senior officials sign acknowledging the "*Records Transfer Receipt and Checklist*".

   Other departing HLO's records are handled by the Office of Management and the Office of the Chief Human Capital Officer (OCHCO). The OCHCO's internal procedures are captured in a standard operating procedure. The employee Separation Clearance form is completed by each employee. Specifically, an employee's supervisor certifies that the employee "is not in possession of any classified matter (documents, media, etc.); unclassified controlled information (UCI) Official Use Only, Unclassified Controlled Nuclear Information, Export Controlled Information, and Personally Identifiable Information), *or any other federal records*. All classified matter, UCI, *and other federal records* have been either transferred to another

individual with need-to-know and appropriate DOE security clearance, retired, or destroyed in accordance with DOE security and RM requirements.

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

☒ Yes
☐ No

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

DOE will need to shift from paper to electronic records, which will require new business processes that provides a complete record lifecycle in electronic form. One challenge DOE has identified is changing employees' recordkeeping habits to favor use of electronic over paper recordkeeping practices. Additionally, DOE needs to identify and update business processes that rely on paper record processes (i.e., forms completion and documents currently requiring wet signatures, etc.). These processes are being updated, where possible, and automated in digital workflows are in work to ensure records begin and end their lifecycle in electronic form.

9. **Do you need support from NARA to ensure a successful transition to fully-electronic recordkeeping?**

☒ Yes
☐ No

Please provide details on what support is needed:

DOE continues to leverage NARA support to ensure the success of the transition to full electronic recordkeeping. Support includes updated guidance on the Federal Electronic Records Modernization Initiative (FERMI) and the "Criteria for Successfully Managing Permanent Electronic Records" as well as the file format standards and the Universal Electronic Records Management Requirements. DOE has published a RM strategic plan for 2019-2023 that is focused on meeting the requirements to manage records in electronic format by 2022, and is leveraging NARA guidance to achieve this objective. As with all agencies DOE requires the regulations on the digitization of permanent records.