NATIONAL ARCHIVES

OFFICE *of the* CHIEF RECORDS OFFICER

The OMB/NARA *Managing Government Records Directive* (M-12-18) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report to NARA. This report demonstrates how your organization is achieving the goals of the *Directive* and other important initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in meeting the goals of the *Directive*, including implementing proper email management and transitioning to electronic recordkeeping. Additionally, NARA uses the report for information sharing purposes to provide best practices and model solutions with Federal agencies.

The reporting period begins on January 9, 2017 and reports are due back to NARA no later than March 17, 2017.

NARA plans to post your 2016 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.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- 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 PRMD@nara.gov. Include the words "SAORM annual report" 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: Robert "Robbie" Green

- Position title: Acting Chief Information Officer

- Address: 1000 Independence Ave., S.W., Suite 8H-085, Washington, D.C. 20585

- Office telephone number: (202) 586-0166

- Email:

1.   What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?

The Department is a federated entity, and this report will cover approximately 100 major Program and Staff Offices, Laboratories and Technology Centers, and Field Sites listed at www.energy.gov/offices. Also included are two major component administrations in the forms of the Energy Information Administration (EIA) and the National Nuclear Security Administration (NNSA). Excluded are the Power Marketing Administrations: Bonneville Power Administration (BPA), Southeastern Power Administration (SEPA), Southwestern Power Administration (SWPA) and Western Area Power Administration (WAPA), which will submit separate reports for 2016.

2.   Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)

☒ Yes
☐ No

If No, please list and explain which part of your agency or components did not meet the deadline?

(Please note: Through a separate reporting request we will be asking your agency records officers to provide additional information regarding compliance with this target according to the email success criteria published by NARA in April 2016. *Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18)*

At the enterprise level, until DOE's NA-1005 is approved, all email is being treated as unscheduled, and hence, permanent. The Department's information technology (IT) is managed as a federated enterprise that comprises approximately 100 major Program and Staff Offices, Laboratories and Technology Centers, and Fields Sites, as well as six component administrations: EIA, NNSA, BPA, SEPA, SWPA and WAPA. The federated entities provide more than a 60 email service platforms and services to meet varied enterprise customer requirements. The different entities are responsible for managing their email compliance activities, efforts, and initiatives consistent with Departmental policy (DOE Order 243.1B) and applicable laws, regulations and

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guidelines. The Department continues to consider approaches to address the challenges and opportunities with designing, developing, and deploying an enterprise/electronic records management system (ERMS/eRMS) for electronic recordkeeping. It has made efforts and progress toward effectively addressing email management with the adoption of the NARA-developed *Capstone* approach to email management. The Department has worked steadily toward implementation, including having been the first cabinet Department to formally submit NARA's required NA Form 1005, *Verification for Implementing GRS 6.1: Email Managed under a Capstone Approach*. While the Department awaits NARA approval to implement the *Capstone* approach, it has taken steps to secure all emails in electronic format. Additionally, the Department is working to revise and develop Departmental records management policies and communications to better address electronic records management, consistent with changes in Federal laws, regulations and guidance. These efforts include having issued Departmental guidance via DOECast messaging, advising personnel of the requirements for capturing official business information created or received using personal/non-official email accounts.

3.   **Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)**

☐ Yes
☒ No

If No, please list which part of your agency or components did not and why?

The Department is a federated enterprise with program missions and operations that present a number of areas that require continual oversight, guidance and direction necessary to identify and then schedule paper and non-electronic records. While paper and non-electronic records are occasionally identified without known schedules, it is anticipated that much of the volume may be addressed with identification of applicable General Records Schedules and NARA-approved Records Control Schedules particular to the Department. Efforts to identify unscheduled records will continue. For instance, Ombudsman Program records were identified and addressed in 2016, resulting in NARA approval of schedules for both the paper/non-electronic records and for the electronic information system/database.

4.   **Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)**

☒ Yes
☐ No

If Yes, please describe this progress.

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If No, please list which part of your agency or components did not and why?

The Department expects to receive NARA approval of its *Capstone* approach to email management, which DOE expects will favorably impact permanent electronics records management. Implementation of the *Capstone* approach is projected to serve as a blueprint to better address identification, capture, and management of permanent records in other electronic messaging formats, and across electronic information systems where permanent records are created and/or captured. Additionally, the Department is working to revise and develop Departmental records management policies to better address permanent records management consistent with changes in Federal laws, regulations and guidance.

Funding for email records management and electronic records management remains a critical issue.

5.   Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)

☐ Yes
☒ No

Please describe your specific plans or actions.

The Department's Records Management Program has taken action to identify and evaluate options and opportunities for digitization of permanent records. While efforts had focused on the most senior officials within the Department, the recent efforts in the area of the *Capstone* approach to email management has offered additional focus. The Department looks to leverage the approved list of permanent records officials once NARA approves the Department's NA Form 1005, which was submitted in December 2016. This will help simplify identification and provide the validation necessary to re-focus and prioritize permanent records digitization efforts. The email approach may serve as a template to address identification, capture, and management of permanent records in other electronic messaging formats, as well as in electronic systems where documents and electronic signatures are used.

6.   Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)

☒ Yes
☐ No

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If Yes, please describe what steps have been taken.

The Department's *Information Resources Management Strategic Plan*, *FY2014-2018*, Objective 1.3, addressed the initiation of a Records Management Revitalization project in FY2013. The project was expected to use advanced technology and business processes to better manage records inventory, address future capacity requirements, and enhance search and retrieval capabilities. The project was also expected to continue to strengthen electronic and paper records management capability, and provide training and communications to the workforce on the importance of records management. Since the development of the FY2014-2018 Plan, the Department has established a mandatory annual records management training requirement, using the jointly-developed NARA and Federal Records Officers Network "Records Management 101" training. Additional attention and emphasis is still needed to advance areas of records management even as it competes and collaborates with other records and information management priorities, such as cyber security and privacy. The NARA inspection of the Department's Records Management Program in 2015 noted the need to more fully incorporate records management and recordkeeping into the goals and objectives of the FY2014-2018 Plan. While the FY2014-2018 Plan was under review for revisions and updates in 2016, the Department's focus and emphasis was on the Department's Cyber Strategy, and records management was not specifically addressed. However, in late 2016, DOE hired a Senior Executive to oversee the Records Management Program and to oversee the Records Management Team. Expectations for FY2017 include revising the FY2014-2018 Plan and providing a focus and emphasis on specifically addressing outstanding records management challenges.