



*Senior Agency Official for Records Management
2017 Annual Report*

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* 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 8, 2018 and reports are due back to NARA no later than March 16, 2018.

NARA plans to post your 2017 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 progress through December 31, 2017.
- 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 - [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: Stephen “Max” Everett
- Position title: Chief Information Officer
- Address: 1000 Independence Ave., S.W., Suite 8H-085, Washington, D.C. 20585
- Office telephone number: (202) 586-0166

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

Please explain your response:

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 is one major component administration in the form of the Energy Information Administration (EIA). While this has been true ostensibly every year, this year marks the first time that we have attempted to gather information from the field so that we are able to provide even more comprehensive, Department-wide responses for this and the other NARA reports.

Five DOE offices have their own SAORMs and respond separately. They are the National Nuclear Security Administration (NNSA) and the four 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 2017 through their respective SAORMs.

2. Is your agency and its components making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)

- Yes
 No

Please explain your response:

The Department is continuing to make progress towards managing all permanent electronic records in electronic format by December 31, 2019. The Department received NARA approval in July, 2017 for its Capstone approach to email management, which will address the Department’s permanent emails. Full implementation of the Capstone approach will serve as a blueprint to enable the Department to 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.

The Department is also working to revise and develop Departmental records management policies in 2018, to better address permanent records management consistent with changes in Federal laws,

regulations, and guidance. Additionally, the Department is continuing efforts to identify and evaluate possible electronic records and information management solutions to address the goal stated in M-12-18.

- 3. 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 explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.

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The Department's Records Management Program has taken action to identify and evaluate options and opportunities for digitization of permanent records, including recent digitization project discussions with the NARA Account Manager and the NARA Federal Records Centers Program, Records Management Consulting Services (RMCS). We anticipate focusing initially on Capstone senior officials.

Additional coordination is needed to identify staff resources and funding necessary to launch in fiscal year 2019. We will develop policies, plans and directives clearly addressing the digitization requirements across the enterprise.

- 4. OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

- Yes
 No

Please explain your response:

The Department has taken steps to ensure recordkeeping requirements and other records management needs associated with M-17-22. Efforts include contacts with offices impacted by reorganizations to provide management coordination and support. The DOE Records Management Program monitors enterprise announcements to identify offices reorganizing under M-17-22.

- 5. Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful? (see: NARA Bulletin**

- Yes
 No

Please explain your response

I have taken a number of steps as SAORM in 2017 to ensure that our records management program has the strategic direction, support and resources it needs to be successful. I met regularly with DOE Records Management Program officials, including the senior director responsible for the program, as well as with the Departmental Records Officer. Records management is a focal point during my site visits to the national laboratories, technology centers, and field offices. Also, records management was added as part of the new employee orientation, as well as the “Executive Essentials” briefing that is offered to all incoming senior executives.

I have also taken steps to increase enterprise awareness of the records management program in connection with the annual reporting to NARA. For the first time in many years, the program issued an enterprise-wide data call to inform our reporting. I have also issued enterprise messages from me as SAORM to the department on records responsibilities.

The DOE Records Management Team was actively engaged in 2017 planning efforts for our annual conference, to be held in June 2018. We anticipate that the conference will host a number of sessions and activities related to records management.

6. Have you, as the SAORM, ensured that all incoming and outgoing senior officials* receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements.

*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:

I have taken steps to improve visibility of the records management program for all DOE employees, including senior officials. As noted above, a more detailed discussion of records management was added to new employee orientation for all employees, and senior officials receive records management training as part of the “Executive Essentials” briefings.

I have also engaged senior officials directly by issuing enterprise-wide messaging to heads of departmental elements about their records management responsibilities. I also make a point of meeting with records management personnel when I perform site visits to DOE facilities across the country.

The DOE Records Management Program also works closely with its DOE Records Management Community and the Department's Office of the Executive Secretariat to provide assistance, guidance, and support on an array of records management issues, including staff assistance visits and participating in meetings with senior officials and their staffs.

Despite these efforts, we have identified this as an area for improvement in 2018, particularly on briefings for Capstone officials and procedures relating to the departure of senior officials.

7. Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? (OMB Circular A-130, Managing Information as a Strategic Resource)?

- Yes
 No

Please explain your response:

The Department's records management program is included in the *Information Resources Management Strategic Plan, FY2014-2018* (the "Plan"). Furthermore, the Department is continuing to address records management based on the Plan of Corrective Action, following a 2015 NARA inspection of the DOE Records Management Program.

We have had some success with strengthening electronic and paper records management capability, and with providing training and communications to the workforce on the importance of records management, including the 2017 NARA approval of Capstone. Additional attention and emphasis is still needed to advance areas of records management.

The NARA inspection noted the need to incorporate records management and recordkeeping into the goals and objectives of the Plan. Since that time, however, portions of the plan relating to records management have not changed. We will work in 2018 to revise our records management policies, guidance, and training, and move toward updating the Plan.

8. What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)

NARA can best support comprehensive compliance with electronic records management requirements by providing a comprehensive, Government-wide records management-as-a-service environment. Participating agencies like DOE could provide funding to NARA as a records management shared service provider.