



## ***Senior Agency Official for Records Management FY 2015 Annual Report***

The *Managing Government Records Directive (M-12-18)* requires Senior Agency Officials (SAOs) for Records Management 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 November 16, 2015, and reports are due back to NARA no later than COB January 29, 2016.

Please note that NARA will post a version of your 2015 SAO report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. Please let us know whether there is a specific justification as to why your report cannot be publicly shared (in whole or in part).

### **Instructions for Reporting**

- This template covers progress through fiscal year (FY) 2015.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the eight questions/items on the following pages and send the report to [prmd@nara.gov](mailto:prmd@nara.gov). Include the words “SAO annual report” and your agency’s 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 SAO: Michael Johnson

Position title: Chief Information Officer

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

Office telephone number: 202-586-0166

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

*Please list them below:*

U.S. Department of Energy Program and Staff Offices, Laboratories and Technology Centers, and Fields Sites listed at [www.energy.gov/offices](http://www.energy.gov/offices); as well as, the Energy Information Administration; the National Nuclear Security Administration; the Southwestern Power Administration; and, the Western Area Power Administration

2. Is your agency going to meet the *Directive* goal to manage all email records in an accessible electronic format by December 31, 2016? (*Directive Goal 1.2*)

Yes       No

2a) *Provide a list of actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- *establishing formally approved email policies,*
- *use of any automated systems for capturing email,*
- *providing access / retrievability of your email,*
- *establishing disposition practices for agency email (either destroy in agency or transfer to NARA), and*
- *possible implementation of the Capstone approach for applicable agency email.*
- *Attended various NARA-sponsored forums, including Bi-monthly Records & Information Discussion Groups (BRIDG) to learn more about the Capstone approach. DOE RM Program officials have also completed the NARA Capstone training presentation.*
- *Contacted and held discussions with various agencies involved in efforts to develop electronic records management systems and electronic recordkeeping applications, including the Departments of Interior and Justice, as well as NARA.*

- Discussed internal efforts and tools with internal organizations attempting or interested in similar efforts, including the Offices of Energy Efficiency & Renewable Energy (EE) and Fossil Energy (FE)
- Affirmed decision to pursue the Capstone approach, including having initiated coordination with the Offices of the General Counsel and the Chief Human Capital Officer, as well as communication to the DOE RM Community regarding plans and data collection necessary to advance Capstone.
- Initiated development of records management and system requirements for applying Capstone to primary email service platform.

2b) *Provide a list of the actions your agency, components, or bureaus plan to take in 2016 to meet this goal.*

- Continue attendance and coordination at NARA-sponsored forums.
- Contact and hold discussions with various agencies involved in *Capstone* efforts.
- Discuss and/or evaluate other agencies *Capstone* progress and successes for best practices.
- Finalize requirements to request NARA approval for use of *Capstone*.
- Develop *Capstone*-related training.
- Develop *Capstone* to pilot and implement.

3. Has your agency taken actions to implement the 2014 amendments to the *Federal Records Act* requiring Federal employees to copy or forward electronic messages (including email, texts, chats, and instant messaging) that are federal records from their non-official accounts to official accounts within 20 days?

Yes       No

*Please provide a brief description of the actions taken, such as establishing policies and providing training.*

DOE is developing additional resources and communication tools to properly implement the 2014 amendments to the Federal Records Act. Actions include the January 2016 release of a DOE-wide communication – a DOECast titled “Use of Personal Email for Official Business”.

4. Describe your agency’s internal controls for managing electronic messages (including email, texts, chats, and instant messaging) of the agency head and other executives (including appropriate advisers, and other senior management staff).

The DOE Energy IT Service (EITS) group incorporates Federal Information Security Management Act (FISMA) controls to ensure reliability, authenticity, integrity and usability of email data. Access Controls are in place, and email data is backed up and recoverable. These are documented in each systems security plan.

The DOE IG conducted an audit (DOE/IG-0945) in 2015 and provided a report of findings and recommendations. The DOE RM Program is developing a Plan of Corrective Action in response to the NARA 2015 DOE RM Program Inspection, which will address some of the findings in the audit.

5. Is your agency going to meet the *Directive* goal to submit records schedules to NARA for all existing paper and other non-electronic records by December 31, 2016? (*Directive Goal 2.5*)

Yes  No

5a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal.*

- Continued scheduling efforts that included eight schedule submissions in 2015, including approval of two bucketed electronic information systems in 2015.
- Changed the Privacy Impact Assessment (PIA) reporting process to improve identification of unscheduled electronic information systems.
- Surveyed DOE Elements for information on unscheduled records as part of the annual NARA Records Management Self-Assessment.

5b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

- Coordinate IT efforts to improve identification and reporting of information systems requiring scheduling consideration.
- Recruit experienced RM professionals and train existing staff on RM issues to assist with scheduling efforts.
- Continue surveying DOE Elements for information on unscheduled records as part of the annual NARA Records Management Self-Assessment.

6. Is your agency going to meet the *Directive* goal to manage all permanent electronic records in an electronic format by December 31, 2019? (*Directive Goal 1.1*)

Yes  No

6a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- *establishing formally approved electronic records policies,*
- *use of any automated systems for capturing electronic records,*
- *providing access / retrievability of your electronic records, and*
- *establishing disposition practices for agency electronic records.*

- Revising DOE Order/policy to address management of permanent electronic records.
- Continuing records scheduling activities to help ensure identification of permanent records for capture and retention.

6b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

- Develop targeted training to address managing permanent electronic records.
- Evaluate capacity to effectively schedule information systems containing permanent records, to ensure appropriate identification and handling.
- Evaluate IT potential within the Office of the Chief Information Officer (OCIO) for controlling and securing information systems containing permanent records to limit or restrict conversion/transfers other than via electronic formats.

7. Please provide any insight to your agency's efforts to implement the *Managing Government Records Directive* and the transition to a digital government.

*Provide a brief description, including any positive or negative outcomes, challenges, and other obstacles.*

- Implementing the *Capstone* approach for email records management in electronic format using a Phase I approach to update our existing email systems to identify user accounts and apply the NARA-approved *Capstone* GRS 6.1 email records schedule.
- Planning to submit the NA 1005 form to request NARA approval to implement *Capstone*.
- Evaluating DOE email systems for requirements necessary to support records management and litigation requirements. Future plans are to also consider requirements and funding to enable DOE to manage both electronic messaging, including email, and other forms of electronic records.

8. With regard to records management, is your agency preparing for the upcoming change in Presidential administration?

Yes       No

8a) *Provide a list of the actions your agency, components, or bureaus have taken to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration.*

- Initiated coordination with the Offices of the General Counsel (OGC) and the Chief Human Capital Officer (OCHCO) to discuss separation processes and exit briefing activities.

- Offered records management assistance to assist with OGC senior officials' pre-briefing and exit briefing processes.
- Previously revised a separations clearance form to better address records management during employee transitions.
- Recommended including records management discussions during new employee orientations.
- Met with various department stakeholders to plan for the capture of records from senior officials.

8b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration, including ensuring that federal records are not improperly removed from the agency.*

- Coordinate with OGC and OCHCO to discuss separation processes and exit briefing activities.
- Initiate coordination with the OCIO to discuss separation processes and existing procedures involving information systems, including email services.
- Review existing and establish additional policy, guidance, and supporting documentation, as needed, to ensure adequate enterprise-wide notices and tracking of employee separations processes and exit procedures (e.g., revise DOE Order(s), issue separation checklists)
- Develop and/or revise targeted trainings to improve records management awareness (e.g., briefings, self-paced, instructor led)
- Work with our IT service provider organizations within DOE to ensure the capture and safeguarding of electronic records of senior officials for appropriate preservation and transfer.