



## *Senior Agency Official for Records Management 2018 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.

The reporting period begins on March 11, 2019 with reports due back to NARA no later than April 19, 2019.

NARA plans to post your 2018 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, 2018.
- 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](mailto:rmsselfassessment@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: 10000 Independence Ave., S.W., Suite 8H-085, Washington, D.C. 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 federated entity, and this report will cover approximately 100 major Program and Staff Offices, Laboratories and Technology Centers, as well as Field Sites—all of which are listed at [www.energy.gov/offices](http://www.energy.gov/offices).

Five DOE Elements have separately designated SAORMs and respond individually. 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).

- 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:*

DOE continues to address means of identification, capture, and management of permanent records in electronic format across all electronic information systems, as well as in electronic messaging systems such as email. Existing electronic information systems are being reviewed and scheduled to identify, as well as manage, all permanent records in electronic format. DOE has determined that technical updates are needed to enable the management of Federal records and these efforts are on-going. The Office of the Chief Information Officer (OCIO) is piloting email retention policies for Capstone, and working to support the management of electronic permanent records in electronic systems. The Records Management Program continues to provide guidance to the DOE Records Community to address the upcoming December 31, 2019 M-12-18, Goal 1.1, to

manage all permanent electronic records in an electronic format. The Department continues efforts to implement records management controls in the systems development lifecycle (SDLC) and monitor the development of new systems from a records perspective.

**3. Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

- Yes  
 No

*Please explain your response:*

DOE has focused on the management of electronic records leveraging the principles of the NARA-issued *Criteria for Successfully Managing Permanent Electronic Records*. The proposed approach includes the implementation of a DOE records management strategic plan that will align to the *DOE Information Resources Management (IRM) Strategic Plan 2018-2022*. The DOE Records Management Office's strategic focus is on four main supporting objectives to achieve the successful management of electronic records: (1) training; (2) policy; (3) technical innovation; and, (4) a repeatable electronic records management framework to support and manage the lifecycle of electronic records, regardless of format or location. Policy statements on the management of electronic records, the DOE Order 243.1B, and accompanying mandatory workforce records management training, all support the education and awareness of the broader DOE community.

DOE is seeking to manage both permanent and temporary electronic records in-place utilizing multiple technical approaches based on the NARA-issued *Universal Electronic Records Management Requirements*. These efforts include the update of existing systems to enable the proper management of Federal records throughout the records lifecycle, and the use of cloud services such as Office 365. Targeted outreach to the DOE Records Management Community has been successful in promoting an enterprise push towards the M-12-18, Goal 1.1, by the December 31, 2019 deadline to manage permanent electronic records in an electronic format. While some challenges remain, DOE is making progress in meeting this goal.

**4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

*The Reform Plan states:*

***Transition to Electronic Environment:*** *Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.*

- 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. Further, DOE is working to meet this deadline by engaging in multiple efforts targeting legacy business processes and working with the records owners to support the transition to electronic records management. Efforts include targeted training, outreach, and direct support to provide guidance to systems owners. Records management program officials will support DOE organizations to update business processes that facilitate a digital capability to the fullest extent possible.

The DOE Records Management Program is prioritizing the support for the electronic records lifecycle updates required to meet the 2022 objective. Recommendations include the transfer of paper records to Federal Records Centers (FRCs) prior to 2022, where appropriate, the digitization of existing records, and keeping the records management community up-to-date, with detailed reports focusing on the financial costs of poorly managed records.

The DOE Records Management Office is also performing outreach activities that include briefing the DOE Records Management Community on the NARA Federal Electronic Records Modernization Initiative (FERMI), providing electronic records management updates during monthly Records Management Working Group meetings, and covering the topic in regularly published *The Records Bulletin* notices. The effort is also promoting a common records management framework, designed to help DOE successfully transition to fully electronic records management by the December 31, 2022 deadline.

5. **Is your agency utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?**

- Yes  
 No

*Please explain your response:*

DOE has used the Schedule 36 as a contract vehicle, as well as utilizing the vendor list to ensure that DOE is contracting with vendors on other contract vehicles that have been certified per GSA requirements for electronic records management solutions.

**6. Have you, as the SAORM, established or improved your agency procedures that ensure 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  
 Changes were unnecessary (click [here](#) for your agency's 2017 report)  
 No, changes are being considered but have not been made  
 No

*Please explain your response:*

All new employees receive an introduction to records management during in-processing and are required to take the online *Records Management 101* course within 30 days of onboarding. Senior Executives, including political appointees, are also required to attend the Executive Essentials briefing hosted by the Office of the Chief Human Capital Officer, where records management training is presented by members of the DOE Records Management Office. The Executive Essentials briefing includes Capstone High-level Officials (HLOs) under Capstone. The DOE Records Management Office has also developed a deskside briefing for HLOs, to familiarize them with Capstone requirements and review email best practices. When an HLO departs the agency, he or she goes through an exit interview with the Office of the General Counsel (GC). This out-brief includes records management requirements, and may process requests for copies of records to ensure Federal records are not inadvertently destroyed or alienated.

**7. Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

- Yes  
 No

*Please explain your response:*

DOE has significantly elevated The Records Management Program. The program is now managed by a senior executive who reports directly to the SAORM. Funding has been significantly increased to support the transition to electronic records management, and the program has expanded with additional support staff and resources.

8. **Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees?** (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))

Yes  
 No

*Please explain your response:*

Records management roles are identified in the DOE Order 243.1b, and training has been developed for each role. The *Records Management 101* course is required annually and provides basic records management training for all DOE staff, to include contractors. In addition to publishing the *DOE Records Handbook*, the DOE Records Management Office provides group and one-on-one training for the DOE records management community. Training subjects include NARA's *Archives and Records Centers Information System* (ARCIS), the *Electronic Records Archives* (ERA), Essential Records, the management of records in paper form, records digitization standards, the NARA Capstone approach to email management, and updates on the Federal Electronic Records Modernization Initiative, (FERMI).

The DOE Records Management Office also supports the DOE records management community via a dedicated mailbox and a hotline to receive records management questions and support requests. The Department's Program Records Officials (PRO) have met as a group to discuss the challenges of electronic records management for their environments and to leverage lessons learned.

9. **Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

Yes  
 No

*Please explain your response:*

DOE has utilized Department-level communications to support the proper management of Federal records, including email. The DOE Records Management Office has developed and deployed a records evaluation process that is currently in use to evaluate records programs across the enterprise. Results are documented, and follow-up is part of the process. A successful partnership between the records management program officials and the DOE Records Management Office has been instrumental in laying the foundation for implementing electronic records management.

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

Yes

No

*Please explain your response:*

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 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 drafted a records management 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.