

## Department of Energy - received 4/16/2019

### Federal Email Management Reporting for 2018

The jointly issued OMB/NARA *Managing Government Records Directive (M-12-18)* required Federal agencies to manage both permanent and temporary email records in an accessible electronic format by December 31, 2016.

NARA is continuing to monitor the management of email by requiring Federal agencies to report annually on the implementation of the *Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18)*. The success criteria describes the policy, system, access, and disposition requirements needed to properly manage all temporary and permanent email in an electronic format.

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

NARA plans to post your responses on archives.gov 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.

NARA reserves the right to follow up with agencies to obtain additional information and/or documentation that supports their answers to the questions.

The following questions are designed to indicate how well your agency's email management meets the *Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18)*.

Please read carefully and choose the description that best describes your agency's ability to manage email.

**Policies:** Agency-wide policies and training must inform account holders of their responsibilities for managing email records. Policies should be developed with all relevant stakeholders and should address the requirements of the Federal Records Act, 36 CFR Chapter XII Subchapter B, and NARA guidance.

*Q1.*

Which of these levels best describes the state of your email policies?

- No email policies exist; relevant stakeholders have not been identified; senior-level email is not managed in any way; and there are no policies related to the loss of email records.
- Email policies are being drafted; and there is a general awareness of both the roles and responsibilities for managing email records, and of the risk of loss of email records.
- Email policies address general use of email only; relevant stakeholders have been identified; roles and responsibilities for email management have been defined; and there is an awareness of the risk of loss of email records.
- Email policies have been developed and disseminated; stakeholders, including the Chief Information Officer, Records Managers, and General Counsel, are involved in making policy and other decisions regarding email; there are policies governing holds on email records or accounts; policies include use of personal or non-official email accounts; and there are policies and procedures protecting against the loss of email records.
- Email policies are in place and implemented throughout the agency; all staff (including senior staff) have been trained on their roles and responsibilities for managing email including use of personal or non-official email accounts; records management staff and/or Inspector General perform periodic audits of email policies to ensure proper use and implementation; and annual mandatory records and information management (RIM) and information security training includes roles and responsibilities regarding email.

Points = 3

### CI. Comments on Q1 (Optional)

DOE issued policy as DOE Order 243.1B, Records Management Program (the “Order”). DOE continues to revise the Order to address such areas as Capstone, email use for official business, use of instant messaging (IM), text messaging, and public/external social media platforms for official business resulting in the creation of agency records, and also records management training specific to email. Of note, DOE still functions as a central, federated enterprise with approximately 60 major Program and Staff Offices, Laboratory and Technical Centers, and Fields Sites. DOE’s structure includes six federated DOE Elements or component administrations identified as the Energy Information Administration (EIA), the National Nuclear Security Administration (NNSA), and four Power Marketing Administrations (PMAs) – i.e., the Bonneville Power Administration (BPA), Southeastern Power Administration (SEPA), Southwestern Power Administration (SWPA) and the Western Area Power Administration (WAPA). EIA, NNSA, BPA, SEPA, SWPA, and WAPA each manage a component administration records management program overseen by a local records officer, and each was contacted by NARA to file a 2018 Federal Email Management Report with NARA.

**Systems:** Agencies must have systems in place that can produce, manage, and preserve email records in an acceptable electronic format until disposition can be

**executed. Additionally, systems must support the implementation of agency policies and provide access to email records throughout their lifecycle.**

**Q2.**

**Which of these levels best describes the state of your email systems?**

- Email is managed in disparate systems; email is managed by the end user; and no retention is applied.
- Systems retain temporary email records up to 180 days only; and print and file is the main method of preservation for email.
- Some centralized administration of email systems exists; there is limited identification of permanent email; and email is manually managed by the end user based on retention schedules.
- Administration of email systems is specifically assigned; temporary and permanent email categories are identified; systems are under development to handle the implementation of agency policies and lifecycle management; and electronic retention is the main method for the preservation of email.
- Email systems manage and preserve email in electronic format; limited end user input is needed to apply proper retention and disposition policies; permanent email is identified and managed; email systems maintain the content, context, and structure of the records; and email records are associated with their creator.

**Points = 3**

**C2. Comments on Q2 (Optional)**

DOE was approved for Capstone implementation in July 2017, for DOE Headquarters (HQ). The DOE HQ approval impacts approximately 60 major Program and Staff Offices, Laboratory and Technical Centers, and Fields Sites. DOE also received approvals in 2017 for Capstone implementation for five of its six component administrations – EIA, NNSA, SEPA, SWPA, and WAPA – and approval in 2018 for the last remaining component – BPA. The decision to implement Capstone and the associated requirements was communicated across the enterprise, including in HQ and to the field. Communication forms include briefings to new executives, staff, and contractors during their onboarding process, as well as briefings and engagements with the DOE Records Management Community that supports DOE HQ and the field, including EIA, NNSA, BPA, SEPA, SWPA, and WAPA. Also included in such engagements has been the DOE HQ email service operations office under the Office of the Chief Information Officer (OCIO). The OCIO runs their email in the Cloud using Microsoft Office 365 Exchange Online. The OCIO email service is currently managing email records with an in-place hold to ensure nothing is disposed prematurely. Retention policies have been created and planning is underway to apply them to all OCIO mailboxes for each tier of retention as required. Still, work remains and will continue in 2019 to ensure full Capstone implementation across the DOE enterprise.

**Access: Email records must remain usable and retrievable throughout their lifecycle. Access supports an agency's ability to carry out its business functions. Access should address internal agency needs and accommodate responses to requests for information.**

**Q3. Which of these levels best describes the usability and retrievability of your email throughout its lifecycle?**

- There is no attempt to determine whether or not email can be accessed beyond immediate business needs; there is no management of email of departed employees; producing email for requests is difficult, costly, and not always feasible; agency has multiple email systems that do not relate to each other and are not searchable across multiple accounts or systems; there are little or no safeguards in place for unauthorized access, unintentional modification or destruction; no defined processes exist for maintaining records making access and retrieval difficult; processes are performed in an ad hoc manner; and there is no formal definition or classification of email records.
- Email records are retrievable through system back-ups or other means; there is minimal management of email of departed employees; producing email for requests is achievable but time consuming and costly; there is limited training or other awareness of the security of email; and processes for maintaining email records are starting to be standardized agency-wide.
- Email records are included in a draft retention schedule pending approval; email of departing employees is maintained until someone can review; formal processes exist in order for records to be accessed and retrieved in a timely manner; standardized RIM lifecycle processes have been developed across the agency making access and retrieval of email records more reliable; and standardized processes for access and retrieval are beginning to be promulgated across the agency.
- Email is retrievable during the normal course of business; the email system has procedures for providing reference and responses for email requests; security and privacy protocols are included in the system; processes for the identification and classification of email records are standardized across the agency making access and retrieval reliable; and records are usually accessed and retrieved in a timely manner.
- Email is fully retrievable for requests; email review, preservation, and disposition are embedded into the processes for departing employees; records management controls are built into the email system to prevent unauthorized access, modification or destruction; processes for the identification and classification of email records are documented and integrated with agency business and mission at the strategic level.

**Points = 3**

### C3. Comments on Q3 (Optional)

DOE received Capstone implementation approval in 2017. Presently, DOE operates 64 separate email systems across the enterprise, with initiatives to create a central, federated enterprise supporting a standardization for the identification and classification of email records. Implementation of Capstone has been made a priority during the implementation of this initiative, and tools are proposed for the management of email and electronic records management using Office 365's security and compliance center. Email that is being managed in the OCIO Exchange Online is being preserved, is secure and retrievable. As email systems are consolidated, controls will be applied across our managed systems more consistently.

**Disposition:** The agency must have a NARA-approved schedule in place to be able to carry out the disposition of permanent and temporary email records – using either agency-specific schedules or General Records Schedule (GRS) 6.1: Email Managed under a Capstone Approach.

Q4.

**Which of these levels best describes the state of your disposition of email?**

- There is no retention schedule specifically covering email; disposition of email is not being done; and permanent email records have not been identified.
- Agency is beginning to work with NARA to create retention schedule specifically covering email; disposition of email is handled haphazardly by the end user; and there is some identification of permanent and temporary email records.
- Retention schedule covering email is in draft form but not yet approved; and disposition of email is handled with limited training for the end user.
- Retention schedule covering email has been approved by NARA; end users are trained to oversee the disposition of email records; and permanent records are identified and maintained until transfer to NARA.
- Retention schedule covering email has been approved by NARA; retention schedules are built into email management systems; permanent records are identified and captured by email management systems; and permanent records can be or have been successfully transferred to NARA.

Points = 4

### C4. Comments on Q4 (Optional)

DOE received Capstone implementation approval in 2017. Work remains within DOE among such key stakeholders as the DOE Records Management Program, DOE internal email service support providers, the DOE Privacy Management Program, the DOE Freedom of Information Act Program, and the Office of the General Counsel among others. The OCIO's service operations office implemented an email hold in May 2015 to capture and retain all emails pending full implementation of Capstone. The current hold focuses on ensuring that DOE can economically and effectively address emails associated with DOE's high-level officials (HLOs) approved by NARA for Capstone permanent retention. DOE Records Management Program policies continue to be revised to fully implement Capstone enterprise wide. DOE email service support providers report that DOE has the requisite capability (and plans) to successfully transfer, as/when appropriate, the Capstone permanent records to NARA in accordance with NARA's General Records Schedule (GRS) 6.1 disposition instructions. Additional work is needed to consider and address implementation strategies that will also support an economical and efficient management of the Capstone temporary records for DOE's non-HLO officials in accordance with GRS 6.1.

**Q5. Please enter your contact information below.**

First Name:	Troy
Last Name:	Manigault
Job Title:	Departmental Records Officer
Agency:	U.S. Department of Energy
Component Agency/Office/Bureau:	Office of the Chief Information Officer
Email Address:	troy.manigault@hq.doe.gov; and, doerm@hq.doe.gov

**SCORING**

**NARA is using a maturity model score in our analysis of the success Federal agencies have had in developing email management programs and of what work needs to continue to improve email management across the government. NARA and Federal agencies will be able to compare maturity model scores from 2016 and 2017 with those reported for 2018.**

**Total number of scored questions in this report is four. Total number of points is 16. Maximum maturity model score, also known as the weighted mean, is four. The maturity score is derived by dividing the total number of points based on the level description chosen by the number of scored questions.**

**Score of 0 to 1.9 = High Risk - of not managing email effectively**

**Score of 2 to 2.9 = Moderate Risk - of not managing email effectively**

**Score of 3 to 4 = Low Risk - of not managing email effectively**

**Your Total Points = 13**

**Your Maturity Model Score = 3.25**