



UNITED STATES DEPARTMENT OF ENERGY
2019–2022 RECORDS MANAGEMENT STRATEGIC PLAN

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TABLE OF CONTENTS

INTRODUCTION	1
A BRIEF HISTORY OF THE DEPARTMENT OF ENERGY	2
SECURITY AND PROSPERITY THROUGH WORLD-CLASS SCIENCE	2
MISSION	2
VISION	3
CORE VALUES	3
GOAL 1: Improve the management of records.....	3
GOAL 2: Invest in our workforce	4
GOAL 3: Establish and maintain an electronic records management lifecycle environment ...	4
GOAL 4: Empower the DOE records community to improve the management of records	5
GLOSSARY	6
ACRONYMS & REFERENCES.....	8

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INTRODUCTION

The U.S. Department of Energy (DOE) Records Management Program Strategic Plan has a four-year planning horizon and will be revisited annually. Regular reviews and updates will reflect the need for the DOE Records Management Program to keep up with the ever-changing technological and records and information management landscape.

A robust and fully compliant Records Management Program helps ensure that the Department fulfills its various missions, while simultaneously protecting Federal records and preserving the Department’s history. DOE employees and contractors are obligated to protect and maintain Federal records consistent with Federal laws, statutes, regulations, directives, and DOE policy.

Federal records are created when Federal DOE employees and contractors make or receive recorded information, regardless of form or characteristic, under Federal law or in connection with the transaction of public business, and preserved or appropriate for preservation by the Department as evidence of the organization, functions, policies, decisions, procedures, operations and other activities of the U.S. Government or because of the information value of data in them. [44 U.S.C. 3301] Everyone at DOE has a role in making sure records are created, maintained, used, and dispositioned consistent with applicable laws, regulations, and DOE policy. Information about the Records Management Program and the Federal employee and contractor responsibilities under it can be found in DOE Order 243.1B, *Records Management Program*.

Records Groups in which a *Request for Records Disposition Authority* exists for the DOE.

0138 Federal Energy Regulatory Commission	0388 Southeastern Power Administration
0201 Western Area Power Administration	0430 Energy Research and Development Admin
0305 Bonneville Power Administration	0434 General Records of the DOE
0326 Atomic Energy Commission	0447 Alaska Power Administration
0387 Southwestern Power Administration	

The DOE Records Management Strategic Plan is designed to be forward-looking and challenging. It emphasizes the importance of protecting and securing the Department’s records and information. The Department is committed to the continuous improvement of the management and security of our Federal records as set forth in the following statutes and directives:

- *Presidential and Federal Records Act Amendments of 2014*, Pub.L. 113-187
- *Federal Records Act of 1950*, as amended, 44 U.S.C. chapters 29, 31 and 33
- *Records Management, 36CFR Subchapter B*
- *Transition to Electronic Records, OMB M-19-21*
- *National Archives and Records Administration 2018-2022 Strategic Plan*
- *DOE’s Information Management Resources (IRM) Strategic Plan, 2019-2022*

A BRIEF HISTORY OF THE DEPARTMENT OF ENERGY

The *Department of Energy Organization Act of 1977* created one of the most diverse agencies in the Federal government. Activated on October 1, 1977, the twelfth cabinet-level Department brought together for the first time within one agency two programmatic traditions that had long coexisted within the Federal establishment: 1) defense responsibilities that included the design, construction, and testing of nuclear weapons dating from the Manhattan Project effort to build the atomic bomb, and 2) a loosely knit amalgamation of energy-related programs scattered throughout the Federal government.

SECURITY AND PROSPERITY THROUGH WORLD-CLASS SCIENCE

Over its forty-year history, the Department of Energy has shifted its emphasis and focus as the needs of the nation have changed. During the late 1970s, the Department emphasized energy development and regulation. In the 1980s, nuclear weapons research, development, and production took a priority. With the end of the Cold War, the Department focused on environmental cleanup of the nuclear weapons complex, nonproliferation, and stewardship of the nuclear stockpile.

Since the 2000s, the Department's priority has been ensuring the nation's security and prosperity by addressing its energy, environmental, and nuclear challenges through science and technology solutions. The Department has sought to transform the nation's energy system and secure leadership in clean energy technologies, pursue world-class science and engineering as a cornerstone of economic prosperity, and enhance nuclear security through defense, nonproliferation, and environmental efforts.

RECORDS MANAGEMENT MISSION

The DOE Enterprise Records Management Community's mission is to develop, implement, and manage an agency-wide, comprehensive, integrated, systematic Records and Information Management approach designed to comply with the Federal laws, statutes, and policies; to safeguard the Department's Federal records by guiding the management, access, retention, storage, protection, and disposition of those assets; and to provide consultative and operational assistance to all components concerning their records management, retention, disposition, and secure information management practices.

Individual DOE Element decisions are guided by the following tenets:

- Compliance with Federal laws, statutes, and policies
- Adherence to Departmental policies and procedures
- Accountability when handling Departmental records and information
- Efficient, effective, and ethical management of the Department's records and information
- Consistency with professional standards and practices

VISION

The DOE Records Management Community strives to enable the Department to transition to an all-electronic records management environment through information sharing, technology leadership, and collaboration to better manage the modernization of records management while protecting the Department’s records, conserving the Department’s history, and promoting accountability and public understanding of the Department’s activities through documentation, preservation, and professional records management.

CORE VALUES



STRATEGIC GOALS AND OBJECTIVES

GOAL 1: Improve the management of records in support of DOE’s mission and in compliance with the Federal Records Act.

The Records Management (RM) Program’s primary goal is to support the RM Community to ensure DOE has access to records it needs to fulfill its mission, and to make and preserve records containing adequate and proper documentation of DOE’s organization, function, policies, decisions, procedures, and essential transactions.

- **Objective 1.1** – Promote and excel in the fundamentals of records management practices, including inventory and file plan creation, and execution of retention and disposition according to approved record schedules. Show continuous improvement in the Department’s handling of Federal records.
- **Objective 1.2** – Ensure DOE records control schedules are updated, media neutral, and are cross walked to the GRS providing the most efficient records schedules to meet the DOE mission.

GOAL 2: Invest in our workforce by providing training, information, and excellent records management services Department-wide.

The DOE RM Program works to ensure the Department’s records management responsibilities, policies, and procedures are understood by DOE Federal employees and contractors through education and training opportunities, and are conveyed to our network of RM community professionals through communication and outreach. The RM Program invests in our records community by ensuring all members with RM roles throughout the Department are provided with the resources, expertise, and support needed to manage records effectively and efficiently.

- Objective 2.1 – Ensure that proper RM training is in place and required annually to support records management roles and responsibilities, and to ensure RM principles are properly executed throughout the Department.
- Objective 2.2 – Develop and deliver effective RM training and materials to DOE personnel and other stakeholders through targeted outreach and communication, role-based training, RM working groups, and site visits to insure common RM practices are well known, understood, and applied to the Department’s records to increase the successful execution of RM.
- Objective 2.3 – Support and promote teamwork within the records community to extend RM expertise, awareness, and outreach to DOE employees. Collaborate to foster a culture of understanding the value of RM. Provide targeted assistance to employees, including file plan development and usage, records schedule use, preparing records for disposition and the migration to electronic records.

GOAL 3: Establish and maintain an electronic records management lifecycle environment to the fullest extent possible.

To maintain an active and compliant enterprise RM program that supports the DOE Mission economically and efficiently, the DOE RM program must promote and advance the management of electronic records across the DOE enterprise. DOE is taking a decentralized approach to RM that fosters electronic records management compliance through creativity, innovation, and collaboration with internal and external partners.

Our objective is to identify an integrated approach to electronic records management that preserves the integrity of our records, protects the Department against loss, is sustainable throughout the records lifecycle, and manages records in accordance with applicable Federal law and statutes, regulations, directives and policies.

- Objective 3.1 – Promote the use of the NARA Universal Electronic Records Management (UERM) requirements as new systems are introduced to DOE. This is done by ensuring the associated requirements of the UERM are included in the requirements traceability matrix (RTM) of all systems.

- Objective 3.2 – Identify, assess, and work with DOE HQ and Elements to schedule and apply lifecycle controls to legacy IT systems, file shares, and storage locations to ensure compliance. This effort includes partnering with IT service providers to identify legacy systems, and to update or migrate systems to a new baseline enabling the preservation, scheduling and proper disposition of federal records.
- Objective 3.3 – Explore the use of advanced technologies to facilitate cost effective, automated electronic records solutions that enhance work productivity, including the use of machine learning and artificial intelligence.

GOAL 4: Empower the DOE records community to improve the management of records and reduce risk through modernized paperless business processes, the application of technology, and site assistance.

- Objective 4.1 – Ensure that the RM program is an active participant in leadership discussions and is consulted in areas where technical innovation must include RM functionality, promoting the success of records management for our customers and partners.
- Objective 4.2 – Promote records management best practices in the establishment of new digital business processes and electronic records management technologies.
- Objective 4.3 – Target the improvement of DOE Essential RM through the establishment of a subject matter expert with authorities for providing administrative and technical guidance, introducing new technologies involving the implementation of a robust, modernized DOE Essential Records Program.

GLOSSARY

DISPOSITION. Any activity with respect to the disposal of temporary records no longer needed for the conduct of business by destruction or donation; the transfer of records to Federal agency storage facilities or records centers; the transfer to the National Archives of the United States of records determined to have sufficient historical or other value to warrant continued preservation. (44 U.S.C. 2901(5))

ELECTRONIC RECORD. Any information, in an electronic state, that is determined to be a record, recorded in a form that only a computer can process and that satisfies the definition of a Federal record under the Federal Records Act. The term includes both the record content and the associated metadata that the agency determines is required to meet agency business needs. (36 CFR 1220.18).

ELECTRONIC RECORDS MANAGEMENT (ERM). Functionality to support records collection, organization, categorization, storage of electronic records, metadata, and location of physical records, retrieval, use, and disposition. (National Archives)

ESSENTIAL RECORD. A set of records an organization needs to meet operational responsibilities under national security emergencies or other emergency conditions (emergency operating records) or to protect the legal and financial rights of the government and those affected by government activities (legal and financial rights records. (Federal Continuity Directive (FCD-1))

FILE PLAN. A comprehensive outline that includes the records series, file organization, active file locations, file transfer instructions, file retention and disposition instructions, and other specific instructions that provide guidance for effective management of records, including essential records. (National Archives)

METADATA. Preserved contextual information describing the history, tracking, and/or management of an electronic document. (36 CFR 1220.18).

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA). An independent agency of the United States government charged with the preservation and documentation of government and historical records. It is also tasked with increasing public access to those documents which make up the National Archives. (National Archives).

PERMANENT RECORD. Any Federal record that has been determined by NARA to have sufficient value to warrant its preservation in the National Archives of the United States, even while it remains in agency custody.

RECORD. Includes all recorded information, regardless of form or characteristics, made or received by a Federal agency under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor

as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of data in them.

RECORDS MANAGEMENT. The planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations. (44 U.S.C. 2901(2))

TEMPORARY RECORD. A Federal record that NARA approves for either immediate disposal, or for disposal after a specified time or event. (36 CFR 1220.18)

ACRONYMS & REFERENCES

Acronym	Meaning
DOE	U.S. Department of Energy
ERM	Electronic Records Management
NARA	National Archives and Records Administration
RAVEN	Records Assistance Visits, Evaluations and Networking Program
RM	Records Management
UERM	Universal Electronic Records Management Requirements

Reference	Meaning
36 CFR Chapter XII	Established the National Archives and Records Administration
21st Century IDEA Act	Integrated Digital Experience Act
44 U.S.C. Chapters 29 , 31 and 33	Federal Records Act of 1950, as amended
DOE Order 243.1B	DOE Policy on the Records Management Program
Delivering Government solutions in the 21st Century	President’s Management Agenda: Reform Plan and Reorganization Recommendations
M-19-21	OMB Memorandum: Transition to Electronic Records
NARA 2018-2022 Strategic Plan	National Archives and Records Administration Strategic Plan
OMB Circular A-130	Managing Federal Information as a Strategic Resource