



*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 JOEL W. SEYMOUR
- Position title Assistant Administrator
Human Resources & Administration (HRA)
- Address 1166 Athens Tech Road
Elberton, GA 30635
- Office telephone number (706) 213-3810

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

Please provide list

Southeastern Power Administration (SEPA)

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 National Archives and Records Administration (NARA) approved SEPA's NA Form 1005 (Verification for Implementing GRS 6.1: Email Managed Under a Capstone Approach) on 23 May 2017. The NA Form 1005 was submitted to NARA on 20 December 2016, which met the suspense and target goal of December 31, 2016. SEPA's Information Management (IM) Team to include SEPA's CIO are currently reviewing systems software options to revise and improve SEPA's management of electronic records.

SEPA personnel are responsible for managing their email compliance activities consistent with Departmental policy (DOE Order 243.1B), SEPA's E-Mail Policy, SEPA's site-specific records schedule and NARA's General Records Schedules. Employee are required to identify and manage email messages (received or produced) to determine record value and apply the rules outlined in records management directives. SEPA continues to address the challenges and explore available electronic records management options to revise and improve SEPA's management of electronic records. SEPA has made progress in effectively addressing email management with NARA's approval of the agency's NA Form 1005 in May 2017.

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.

In 2009 SEPA's hard copy contract records were scanned and uploaded into a private sector cloud-computing environment where they were maintained until the end of FY 2017. Due to the rising costs and anticipated budget constraints, SEPA's senior management team decided to terminate the cloud management of these records and now maintains these scanned records on an agency server. SEPA is a small agency with limited personnel resources; as such, digitization efforts are on-going.

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:

SEPA's Information Management Team and Chief Information Officer have participated in conference calls and working groups with DOE and other Power Marketing Administrations' technology, records management, and FOIA program personnel to explore and better leverage technology to improve the agency business processes and to increase efficiency and savings through the adoption and expansion of shared service programs.

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 2017-02: Guidance on Senior Agency Officials for Records Management <https://www.archives.gov/records-mgmt/bulletins/2017/2017-02.html>)

- Yes
- No

Please explain your response

SEPA's Management Officials have been briefed on the actions necessary to improve and modernize the agency's management of records in order to provide a reliable history of the agency's business and mission and to improve interactions and cost-effective services to the American public. Management Officials have indicated their support in the agency's ongoing efforts to make this endeavor successful.

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:

DOE Headquarters has developed formal records management training for all DOE employees that addresses the responsibilities of senior officials as well as all agency personnel. This training is mandatory for all employees and is tracked and reviewed for compliance. SEPA's personnel are responsible for managing their email compliance activities consistent with Departmental policy (DOE Order 243.1B), SEPA's E-Mail Policy, SEPA's site-specific records schedule and NARA's General Records Schedules. Separating employees complete specific out-briefing procedures that include records management responsibilities and the preservation of Federal records documenting their public service.

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:

As SEPA's Senior Agency Official for Records Management as well as the Chief Information Officer, I am actively involved in SEPA's information resources management. I spearhead the Information Management Team's efforts in identifying viable solutions to improve and modernize the agency's management of records to provide a reliable history of the agency's business and mission. Efforts are ongoing and improvements are being made. SEPA's Information Management Team is currently reviewing records management options, participating in software demonstrations, and consulting with Subject Matter Experts and DOE to determine an appropriate and cost-efficient solution for improving the agency's management of email and electronic records. All employees complete mandatory Federal records management training annually which is tracked and reviewed for compliance and the agency's Records Officer has successfully completed the Records Management Certificate Training Program mandated by NARA.

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)

SEPA's interactions with NARA have been supportive in this on-going endeavor and the agency fully expects a continued successful working relationship as the transition to fully electronic recordkeeping evolves.