



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. 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):

January 29, 2016

Name of SAO: **JOEL W. SEYMOUR**

Joel W. Seymour

Position title: **Assistant Administrator, Human Resources and Administration (HRA)**

Address: **1166 Athens Tech Road, Elberton, GA 30635-6711**

Office telephone number: **(706) 213-3810**

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

Please list them below: **Southeastern Power Administration, Dept. of Energy**

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.*

Southeastern's Electronic Mail (E-Mail) Program Policy was established and formally approved on September 30, 2009. Currently employees manage their own email accounts and apply records management responsibilities in accordance with the provisions outlined in Southeastern's E-Mail Policy, Southeastern's site-specific records schedule and NARA's General Records Schedules. Employees are required to identify and manage email messages (received or produced) to determine record value and apply the rules outlined in records management directives. Southeastern currently maintains vital records in a commercial, cloud computing environment and increased use will continue.

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

Southeastern's management is expected to make a final determination on the Capstone approach or purchase an electronic records management system for email management.

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.

Southeastern's prohibits the use of non-official email accounts to conduct agency business. In the event that such an action occurs, employees are aware of their responsibilities as outlined in the agency's email policy. Mandatory Federal records management training is completed by each employee on an annual basis.

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).

Southeastern's prohibits the use of non-official email accounts to conduct agency business. In the event that such an action occurs, employees are aware of their responsibilities as outlined in the agency's email policy. Mandatory Federal records management training is completed by each employee on an annual basis; all agency employees including executives are reminded of their records management responsibilities regarding all Federal records in all formats (electronic, paper, video, etc.).

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.*

Records are scheduled according to Southeastern's approved site-specific records schedule and NARA's General Records Schedules.

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

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.*

Southeastern's Electronic Mail (E-Mail) Program Policy was established and formally approved on September 30, 2009. Currently employees manage their own email accounts and apply records management responsibilities in accordance with the provisions outlined in Southeastern's E-Mail Policy, Southeastern's site-specific records schedule and NARA's General Records Schedules. Employees are required to identify and manage email messages (received or produced) to determine record value and apply the rules outlined in records management directives.

Southeastern's management will make a final determination on the Capstone approach and either implement the approach or purchase an electronic records management system for email and other electronic records management.

Southeastern currently maintains vital records in a commercial, cloud computing environment and increased use will continue.

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

Either adoption of the Capstone approach or purchase of an electronic records management system. Southeastern's records management directives/policies will be reviewed and revised when the final determination is implemented.

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.

Small agencies with limited resources and personnel are at a great disadvantage in implementing these new directives.

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.*

Southeastern does not anticipate any problems in this area since the agency has only one executive position. No agency-level changes are anticipated arising from the upcoming change in Presidential administration.

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.*

No additional measures are anticipated; procedures in place are deemed appropriate.