



## *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 [rmselfassessment@nara.gov](mailto:rmselfassessment@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**
- Address **Human Resources & Administration (HRA)  
1166 Athens Tech Road**

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:*

**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.**

**Southeastern installed Microsoft Office 365 in 2018 to manage email records IAW established guidance under NARA's Capstone Approach.**

**Department of Energy Headquarters is currently reviewing and revising the Department's Records Management Program directive and as well as conducting pilots for the implementation of a viable electronic records management solution that is compatible with Microsoft Office 365 for Department-wide adoption.**

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:*

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.

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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):*

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**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:*

**Department of Energy Headquarters is currently reviewing and revising the Department's Records Management Program directive and as well as conducting pilots for the implementation of a viable electronic records management solution that is compatible with Microsoft Office 365 for Department-wide adoption.**

**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:*

**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. 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

**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 have been made. The agency purchased and installed Microsoft Office 365 in 2018. SEPA's Information Management Team has participated in software demonstrations and continues to consult with Subject Matter Experts and DOE Headquarters personnel conducting pilots to best determine an appropriate and cost-efficient solution for improving the agency's management of electronic records.**

**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:*

**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.**

**The agency purchased and installed Microsoft Office 365 in 2018.**

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:*

All employees complete mandatory DOE 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.

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:*

Southeastern installed Microsoft Office 365 in 2018 and records retention of email managed under NARA's Capstone Approach was implemented by the contractor at the time of installation. The DOE Headquarters Records Management Division is currently revising DOE's Records Management Program directive and has also developed forms for the records evaluation process Department wide.

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

- Yes
- No

*Please explain your response:*

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.