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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*, 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 January 9, 2017 and reports are due back to NARA no later than March 17, 2017.

NARA plans to post your 2016 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.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- 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" 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**

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

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

- Email

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

      Please list below   **Southeastern Power Administration (SEPA)**

2.   **Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)**

      - Yes
      ☐ No

      SEPA is currently awaiting NARA Capstone Review Board approval of NA Form 1005 (Verification for Implementing GRS 6.1: Email Managed Under a Capstone Approach). 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 to implement the Capstone approach agency-wide.

      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 software packages for implementing an electronic records management system for electronic recordkeeping. SEPA has made progress in effectively addressing email management with the submission of NA Form 1005 to adopt the NARA-developed *Capstone* approach to email management.   SEPA currently maintains vital records in a commercial, cloud-computing environment and increased use is anticipated.

      If No, please list and explain which part of your agency or components did not meet the deadline?

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(Please note: Through a separate reporting request we will be asking your agency records officers to provide additional information regarding compliance with this target according to the email success criteria published by NARA in April 2016. *Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18)*

3. **Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)**

- Yes
- ☐ No

If No, please list which part of your agency or components did not and why?

4. **Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)**

- Yes
- ☐ No

If Yes, please describe this progress.

> **SEPA is currently awaiting NARA Capstone Review Board approval of NA Form 1005 (Verification for Implementing GRS 6.1: Email Managed Under a Capstone Approach). 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 to implement the Capstone approach agency-wide.**

> **SEPA continues to address the challenges and explore available software packages for implementing an electronic records management system for electronic recordkeeping. SEPA has made progress in effectively addressing email management with the submission of NA Form 1005 to adopt the NARA-developed *Capstone* approach to email management. SEPA currently maintains vital records in a commercial, cloud-computing environment and increased use is anticipated.**

If No, please list which part of your agency or components did not and why?

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5.   **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 describe your specific plans or actions.

SEPA is currently awaiting NARA Capstone Review Board approval of NA Form 1005 (Verification for Implementing GRS 6.1: Email Managed Under a Capstone Approach) which will impact permanent electronic records management.

SEPA currently maintains vital records in a commercial, cloud-computing environment and increased use is anticipated with continued scanning and uploading of permanent records collections.

6.   **Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)**

- Yes
- ☐ No

If Yes, please describe what steps have been taken.

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 manage the agency's records and thus 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 software packages, participating in software demonstrations, and consulting with Subject Matter Experts and NARA to determine the appropriate electronic records management/email system for the agency. 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.

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