



Senior Agency Official for Records Management 2019 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.

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

The reporting period begins on January 13, 2020, with reports due back to NARA no later than March 13, 2020.

NARA plans to post your 2019 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 records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- 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 rmsselfassessment@nara.gov. Include the words "SAORM 2019 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: Mike Wech
- Position title: Administrator
- Address: 1 W 3rd Street, Suite 1600, Tulsa OK 74103-3502

- 1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reported separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

Please provide list:

Department of Energy, Southwestern Power Administration

No new additions or changes.

- 2. Is your agency managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

Yes

No

Please explain your response:

SWPA has mature Federal Records Management, Backup, Recovery, and Content Indexing systems that are providing the technology required to meet the M-19-21, 1.1. Plans are in place to retain existing permanent electronic records and convert any remaining permanent paper records. SWPA continues its efforts to transition to an all permanent electronic format.

- 3. Has your agency made progress towards managing all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

Yes

No

Please explain your response (include specific goals and example metrics):

As part of the SWPA's Records Management Program, the dedicated support staff is continuously working with Records Owners to scan and capture paper records material. Additionally, SWPA is currently in the process of securing additional scanning equipment to assist with any backlogs to ensure timelines are on schedule for being met.

4. Has your agency made progress towards managing all temporary records in electronic format? (M-19-21, 1.3)

Yes

No

Please explain your response (include specific goals and example metrics):

SWPA first goal is working on permanent records, followed by the temporary records. As part of the SWPA's Records Management Program, the dedicated support staff is continuously working with Records Owners to scan and capture paper records material. Additionally, SWPA has engaged with securing additional scanners and personnel to assist with any backlogs to ensure timelines are on schedule for being met.

5. Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)

Yes

No

Please explain your response (include specific goals and example metrics):

SWPA has designated a Senior Agency Official for Records Management and an Agency Records Officer. SWPA has informed all the agency departments concerning their responsibilities in law, regulation, and policy, and provide training specific to the practices and policies of the organization. SWPA uses a NARA-approved records schedule.

6. If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)

Yes

No

Please explain your response (include specific goals and example metrics):

As part of the SWPA's Records Management Program, the dedicated support staff is continuously working with Records Owners to scan and capture paper records material. Additionally, SWPA has engaged with and utilized third-party scanning

services to assist with any backlogs to ensure timelines are on schedule for being met.

- Use of automated systems for capturing email and electronic files,
- providing access/retrievability of both electronic (email and data) and nonelectronic materials,
- use of disposition/transfer practices for both electronic and non-electronic records (either destroy in agency or transfer to NARA), and implementation of NARA's Capstone approach for managing emails for identified executives and personnel; and will ensure continued use of senior agency official records exit interviews for all Capstone personnel.

7. Does your agency have procedures that include documentation to ensure records of outgoing senior officials* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?

*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 (include specific details of procedures):

SWPA policy is any senior official record are captured as part of the exit process.

8. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?

Yes

No

Please explain your response (include details of specific challenges, if applicable):

While staff are engaged and actively working on the transfer of all legacy records to electronic format, the sheer volume and time involved to create and transfer these documents will take all of the allotted time up to 2022.

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

Yes

No

Please provide details on what support is needed:

Southwestern Power Administration (SWPA) need continuous support from our assigned NARA's Archivist and staff to ensure successful continued effort in moving all files to an electronic format. The association between SWPA and NARA is a good working relationship. Continuing that communication is a vital element in SWPA's success.