



Senior Agency Official for Records Management 2021 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. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

The reporting period begins on January 10, 2022, and reports are due back to NARA no later than March 11, 2022.

NARA plans to post your 2021 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, 2021, and other aspects of agency records management programs.
- 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 2021 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 and CEO
- Address: 2858 S Golden Ave, Springfield, MO 65807

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

Please provide a list, and also indicate any that are new or have been changed due to reorganization or other circumstances.

This report covers Southwestern Power Administration. The following offices and all subordinate divisions encompass hydroelectric power systems and customers spanning Oklahoma, Missouri, Arkansas, Louisiana, parts of Texas and Kansas.

- Office of Power Delivery
- Office of Corporate Compliance
- Office of Corporate Operations

2. Has the COVID-19 pandemic impacted policies or practices related to records management at your agency?

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

Yes. Our efforts to digitize our workflow processes has been accelerated. Several of our offices have converted their entire process to electronic methods thereby eliminating the creation of paper records. We have upgraded our capabilities and are now establishing an all-inclusive electronic records management (ERM) process capable of handling the increase of data, providing adequate information security, and digitizing older paper records.

3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)

Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.

Yes. As of 2020 we converted an IT position to Records and Information Specialist. This allows us to manage our IT systems with a records management (RM) perspective built in.

4. Will your agency meet the goal to manage and preserve all permanent records in an

electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)

Please explain your response (include specific goals, example metrics, and/or challenges):

Yes. The Agency Records Officer is continuing to work with records custodians, information owners, and IT administrators to provide targeted training and modernize legacy business processes. Initiatives to identify and migrate electronic permanent records to a NARA-approved electronic records system are ongoing.

Furthermore, we are working closely with the DOE records management (DOE/RM) team to develop guidance and acquire approved retention schedules ensuring records are retained appropriately. Following DOE's lead, we are exploring cloud-based records solutions capable of staging permanent records in preparation for transfer to NARA.

5. Will your agency meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)

Please explain your response (include specific goals, example metrics, and/or challenges):

Yes. In addition to the efforts detailed above, we are developing a Microsoft 365 ERM strategy to utilize native records management capabilities. This tool will allow us to capture unstructured content, migrate official records from shared drives, manage outlook email, and ensure all systems comply with ERM requirements.

6. Does your agency have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?

Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.

No. Our records management needs do not warrant an exception to the current deadline.

7. Is your agency utilizing the General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment?

Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.

No. According to DOE policy, SWPA has procured Microsoft 365 E5. We will fully leverage the records management capabilities of this tool. Future evaluations will decide if additional procurements are necessary.

8. Has your agency developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?*

**M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.

No. SWPA does not operate a records center or make use of any records center operated by DOE. We do have physical records stored at the federal records center in Fort Worth Texas. No shipments are scheduled now or in the future. Temporary records currently stored in NARA's federal records centers are exempt from this requirement. All temporary records are stored locally until final disposition and processes creating temporary records will be fully electronic by 31 Dec 2022.

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

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

Yes. In addition to a large volume of paper records, efforts are needed to drive behavior away from printing reference copies of electronic records and duplicate copies of paper records. Additionally, we struggle to change business processes that still require physical records.

10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?

Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions):

Southwestern Power Administration (SWPA) needs 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.