



Senior Agency Official for Records Management 2023 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 (OMB) and NARA issued a memorandum, *Transition to Electronic Records* ([M-19-21](#)), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines.

On December 23, 2022, OMB and NARA issued a new memorandum, *Update to Transition to Electronic Records* ([M-23-07](#)) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, 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 recordkeeping and preservation under these requirements, as well as other important records management initiatives.

The reporting period begins on January 8, 2024, and reports are due back to NARA no later than March 8, 2024.

NARA plans to post your 2023 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 on our website.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- 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 2023 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.

NARA may follow up with agencies to obtain additional information and/or documentation related to responses provided in the template.

As in previous years, we will be validating selected questions and responses from agencies. Your agency may be selected at random to provide additional documentation and/or take part in interviews to discuss your records management program activities.

Provide the following information (required):

- Name of SAORM: [Mike Wech](#)
- Position title: [Administrator and CEO](#)

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

This report covers Southwestern Power Administration (SWPA). 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. Will your agency meet the goal to manage, preserve and transfer all permanent records in an electronic format with appropriate metadata by June 30, 2024? (M-19-21, 1.2 and M-23-07, 1.1 and 1.2)

No.

- As of 2023, all permanent records are created and managed in electronic format.
- SWPA contracts two full-time records clerks whose duties include digitizing remaining physical records.
- Beginning in 2024 all transfers to NARA will be electronic.

3. Will your agency meet the goal to manage and preserve all temporary records in an electronic format by June 30, 2024? (M-19-21, 1.3 and M-23-07, 1.3)

No.

- Digitization efforts currently prioritize essential and permanent records.
- All temporary records are created and managed in electronic format.
- Temporary records stored in physical format will be reviewed for digitization or disposition as time and resources permit.

4. Will your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 to close agency-operated records storage facilities by June 30, 2024? (Choose all that apply)

Not applicable. SWPA does not own or operate any agency-operated records storage facilities.

5. Will your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 and transfer inactive records to a NARA Federal Records Center (FRC) or commercial storage facilities by June 30, 2024? (Choose all that apply)

Not applicable, all records stored in the FRC are managed accordingly. All other records are stored locally and managed electronically on locally controlled systems.

6. Does your agency have a Data Management Strategy that includes records management principles? (<https://www.archives.gov/files/records-mgmt/resources/cdo-rm-assessment-report.pdf>)

No. SWPA has not appointed a Chief Data Officer (CDO). The policies that we maintain include the general management of our data to a degree that satisfies records management requirements. However, SWPA does not have a document specifically for “Data Management Strategy.”

- As of 2023, The Department of Energy (DOE) has appointed a CDO which is working closely with the records management program to draft a department level data strategy.
- SWPA will follow the DOE guidance once released.

7. In your role as SAORM, do you meet with your Agency Records Officer(s) to discuss the agency records management program’s goals?

Yes. The ARO meets monthly to discuss various records topics, role based training, and ongoing challenges. Recent meetings have resulted in the update and furtherance of our capstone implementation.

8. Has your agency incorporated NARA’s digitization standards into your Information Resource Management (IRM) Strategic Plan? (44 U.S.C. 3506(b)(2) and OMB Circular A-130)

Yes. DOE has published the IRM which outlines records modernization actions. SWPA is working with DOE records management to ensure uniformity and compliance in our digitization efforts.

- <https://www.energy.gov/cio/articles/fy-2018-2022-information-resource-management-irm-strategy>

9. Does your agency have a social media strategy that includes capturing and maintaining records in accordance with records management statutes and regulations?

Yes. DOE O 243.1C stipulates the necessity to capture records created on social media platforms. However, SWPA does not own or operate any social media accounts.

10. Is there specific policy or guidance you need from NARA to support the strategic direction of your records management program?

Not at this time.