

Senior Agency Official for Records Management 2016 Annual Report



<https://www.archives.gov/files/records-mgmt/m-12-18.pdf>

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):

March 17, 2017

- Name of SAORM: **Scott Carpenter**
- Position title: **Administrator**
- Address: **1 W 3rd St, Suite 1500, Tulsa, OK 74103-3502**
- Office telephone number: **918-595-6600**
- Email:

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

DOE – Southwestern Power Administration (SWPA)

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

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

(Please note: Through a separate reporting request we will be asking your agency records officers to provide additional information regarding compliance with this target per 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:

SWPA has mature Federal Records Management, Backup, Recovery, and Content Indexing systems that are providing the technology required to meet the M-12-18, Goal 1.1. Plans are in place to retain existing permanent electronic records and convert any remaining permanent paper records, by the December 31, 2019 deadline.

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

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:

As part of SWPA's Records Management Program, dedicated support staff are 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.

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.

Records management is achieved through the use of an Information Governance and Lifecycle Management Program.

- SWPA has formally approved email and records policies for:
 - use of automated systems for capturing email and electronic files,
 - providing access/retrievability of both electronic (email and data) and non-electronic 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.

- Routinely works with various groups involved in efforts to develop and maintain electronic records management systems and electronic recordkeeping applications, including dedicated records support staff, agency records owners and employees (including contractors), and NARA staff for on-site inspections to confirm our records management program is on the proper path and provide agency wide training.