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 19, 2021, and reports are due back to NARA no later than March 19, 2021.

NARA plans to post your 2020 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, 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 rmselfassessment@nara.gov. Include the words "SAORM 2020 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 changed any 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.

   However, we now face the challenge of 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 connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)**

   Please provide details on what support is needed:

   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. **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)**

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

Yes. We have staff dedicated to digitizing 50+ years of permanent records. Two offices have completely digitized their information processes and subsequent records. Our newly assigned Agency Records Officer is working to meet the deadline by working 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. **Has your agency made progress towards managing all <u>temporary</u> records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

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

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. **Is your agency investing resources in IT to support the transition to electronic recordkeeping?**

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

Yes. In addition to the solutions identified above we are working with DOE/RM to explore the applicability of SharePoint add-ons such as AvePoint. We are still in the exploration stage. Aside from manhours, no significant changes to our IT investment have been made.

7. **To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your agency have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)**

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

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.

8. **Does your agency have policies and procedures that include documentation to ensure records of <u>newly appointed and outgoing senior officials</u>* 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.

   Please explain your response (include specific details of policies and procedures):

   SWPA follows DOE guidance to implement GRS 6.1: *Email Managed under a Capstone Approach*. An approved NARA form 1005 (NA-1005), *Verification for Implementing GRS 6.1* is on file and under review. The ARO works closely with IT system administrators to establish automatic controls in compliance with applicable retentions. Finally, individuals holding high level official (HLO) positions receive annual RM training provided and tracked by DOE.

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. **Do you have suggestions for NARA to improve its engagement with you as the SAORM?**

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

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.