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 9, 2023, and reports are due back to NARA no later than March 10, 2023.

NARA plans to post your 2022 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 rmselfassessment@nara.gov. Include the words "SAORM 2022 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
- 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?**

   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. **In response to the COVID-19 pandemic, have any of the temporary adaptations to agency business processes become permanent improvements to the management and preservation of electronic records?**

   Yes.
       - Office procedures, workflows, and records are continuing to be digitized with special attention to NARA requirements.

- Efforts are ongoing to reduce the number of printers throughout the agency.
- Network resources have been permanently upgraded to accommodate the remote workforce.

3. **Has your agency taken action to 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)**

Yes. Several offices have converted their entire process to electronic methods thereby eliminating the creation of paper records. We have upgraded our network capabilities and are continuing to expand an all-inclusive electronic records management (ERM) system to manage the increase of data, provide adequate information security, and digitize older paper records.

4. **Has your agency taken action to meet the goal to manage and preserve all <u>temporary</u> records in an electronic format by June 30, 2024? (M-19-21, 1.3 and M-23-07, 1.3)**

Yes. In addition to the efforts detailed above, we are continuing to refine our Microsoft 365 ERM strategy. This tool will allow us to capture unstructured content, migrate official records from shared drives, manage electronic messages, and ensure all systems comply with ERM requirements.

5. **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 and transfer inactive, temporary records to Federal Records Centers or commercial records storage facilities by June 30, 2024?**

Not applicable. 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. All temporary records are stored locally until final disposition. Temporary records currently in physical formats are in the process of being digitized.

6. **Does your agency have policies and procedures that incorporate records management into the information governance (IG) framework for information, data, and other agency information management? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, Records Management (RM) Staff, Security, Privacy Officers, and FOIA)**

Note: The incorporation of records management into information governance is part of the framework covered by [OMB Federal Data Strategy - A Framework for Consistency (M-19-18)](#) as it provides a vision for managing and using federal data, along with recordkeeping requirements included in [OMB Circular A-130, Managing Information as a Strategic Resource](#).

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.

7. **Has your agency developed policies and procedures to ensure the capture and preservation of electronic messages, including when hardware or software is upgraded?**

   Note: Electronic messages means electronic mail and other electronic messaging systems that are used for purposes of communicating between individuals. Electronic messages that satisfy the definition of a federal record under the Federal Records Act are electronic records. This includes email, text messages, chat messages, voicemail, social media posts, and other similar applications. (See: Email Management and CFR 1236: Electronic Records Management)

   No. We are exploring options that will capture text messages, chat messages, and voicemail. Procurement of a solution is expected within FY23. Integrating this new process into currently existing email management will be the predominant challenge.

8. **Is your agency using or exploring cognitive technologies to identify records and distinguish between temporary and permanent retention?**

   Note: Cognitive technologies generally describe automated technologies that can be applied to recordkeeping practices and procedures. These include Artificial Intelligence, Robotic Process Automation, Software Robot or Bot, and other machine learning technologies.

   No. SWPA's data requirements do not warrant the additional expenditure for such a system.

9. **Do you as SAORM regularly oversee and evaluate the effectiveness of your records management program and its compliance with statutes and regulations?**

   Yes. Quarterly, senior staff and I meet with the agency records officer to discuss ongoing efforts and challenges. Additionally, records management measures have been integrated into the agency wide, "Global Goals' report. This quarterly report provides a high-level look at SWPA's annual efficacy.

   Please explain your response including what specific measures you have incorporated into the SAORM role.

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.

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

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.