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* 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 8, 2018 and reports are due back to NARA no later than March 16, 2018.

NARA plans to post your 2017 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 progress through December 31, 2017.
- 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 - [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: Acting Administrator
- Address: 1 West 3rd Street, Suite 1600, Tulsa OK 74103-3502
- Office telephone number: 417-891-2626

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

   DOE – Southwestern Power Administration (SWPA)

2. **Is your agency and its components making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

   [X]Yes
   ☐No

   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.

3. **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)**

   [X]Yes
   ☐ No

   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.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

[X]Yes

☐ No

Please explain your response:

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

    [X]Yes

    ☐No

    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, ensured that all incoming and outgoing senior officials* receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements.**

    *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.

    [X]Yes

    ☐No

    Routinely works with various groups, and management 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.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information**

management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))?

> [X]Yes
> ☐ No

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 nonelectronic 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.

8. What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)

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 vital element in SWPA's success.