



Senior Agency Official for Records Management 2019 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 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 13, 2020, with reports due back to NARA no later than March 13, 2020.

NARA plans to post your 2019 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 records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- 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 2019 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 Mark Gabriel
- Position title Administrator/CEO
- Address 12155 West Alameda Parkway, Lakewood, CO 80228

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

Please provide list: Department of Energy – Western Area Power Administration

2. **Is your agency managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

- Yes**
 No

Please explain your response:

To the fullest extent possible, WAPA met the December 31, 2019 goal to manage all permanent records in electronic format. WAPA completed a comprehensive records inventory to identify all records series to meet this goal. This information was used to create a functional records schedule and organizational level file plans. File plans note where all permanent records are managed regardless of format.

3. **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)**

- Yes**
 No

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

In 2017, WAPA began a Records Modernization Initiative to support the transition to fully electronic business processes. In 2020, WAPA's RIM program will conduct a pilot to establish full electronic records management control with select organizations. This will serve as a model for other WAPA organizations to make this transition to meet the OMB/NARA December 31, 2022 deadline. Additionally, WAPA is

prioritizing sending legacy permanent paper records to appropriate off-site storage by December 31, 2022.

4. Has your agency made progress towards managing all temporary records in electronic format? (M-19-21, 1.3)

- Yes**
 No

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

Yes, WAPA's Records Modernization Initiative focuses on all records needed to meet our mission goals. As noted in the response to question 3, in 2020 WAPA's RIM program will conduct a pilot to establish full electronic records management control with select organizations. This pilot will address management strategies for all WAPA records both permanent and temporary.

5. Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)

- Yes**
 No

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

In 2017, in addition to starting our Records Modernization Initiative, I incorporated records management as a part of WAPA's tactical action plan. That has grown into a larger goal of managing our data as a strategic asset. Specifically for the RIM program, in the last 3 years WAPA has:

- Created, staffed and resourced an enterprise-wide RIM program where none existed before.
- Designated a Senior Agency Official for Records Management (WAPA's Administrator and Chief Executive Officer) and Agency Records Officer.
- Completed a comprehensive records inventory to identify all permanent records.
- Created file plans and assigned records management responsibilities at the organizational level.
- Implemented OMB/NARA's recommended approach (Capstone) to email management.
- Drafted new functional records schedules to modernize our approach to records management.

For future work, WAPA is committed to achieving the goals outlined in the President's Reform Plan and OMB/NARA M-19-21.

6. **If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)**

Yes
 No

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

WAPA has identified our records storage areas and is formulating plans to have all permanent and long-term temporary records moved to appropriate off-site storage by 2022. WAPA's RIM program conducts annual disposition activities to ensure WAPA only keeps the records needed for agency business and maintenance of an appropriate records storage footprint. WAPA is tracking these records using our records management application.

7. **Does your agency have procedures that include documentation to ensure records of outgoing senior officials* 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.

Yes
 No

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

WAPA is in the process of comprehensively updating our exit procedures and assigning responsibility to supervisors to ensure records remain at WAPA. WAPA journals our email accounts to prevent alienation of email records. Additionally, all supervisors are given the opportunity to retain files stored on a departing employee's personal drive, this also includes successors to high-profile positions.

8. **Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

Yes
 No

Please explain your response (include details of specific challenges, if applicable):

One of WAPA's biggest challenges is the rapidly changing dynamics of the electric utility industry. It is critical for WAPA to engage in this world of change and ensure continued accomplishment of our strategic goals. This creates a situation where programs have to balance their resources to meet a variety of demands. To support

this, WAPA is working to create a culture where program offices understand they need to take ownership of the data, information, and records they need to meet their mission goals.

9. Do you need support from NARA to ensure a successful transition to fully-electronic recordkeeping?

- Yes**
 No

Please provide details on what support is needed:

WAPA would like to see the following support from NARA to help ensure successfully meeting the M-19-21 requirements:

- Continued collaboration with OMB emphasizing the importance and benefits of electronic and streamlined business processes.
- Updated regulations focusing on electronic records management.
- A statutory definition or guidance on what constitutes an agency operated records center (for example, would a warehouse that stores physical records and accountable property count as a records center, or does this count as an exception).
- Clear guidance on exempting certain essential records from M-19-21 due to paper records being utilized as an access strategy for continuity events.
- Work with industry on updating approved off-site commercial storage options for agencies to ensure local storage
- Foster interagency discussions on best practices for automating electronic business processes.