



## *Senior Agency Official for Records Management 2017 Annual Report*

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](mailto: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: **Mark A. Gabriel**
- Position title: **Administrator and Chief Executive Officer**
- Address: **PO BOX 281213, Lakewood CO 80228-8213**
- Office telephone number: **(720) 962-7705**

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

DOE – Western Area Power Administration (WAPA)

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)**

- Yes  
 No

The WAPA Records and Information Management (RIM) program and Information Technology (IT) are working together to review software requirements for a software solution for electronic records management. The WAPA RIM team is gathering requirements from the departments and regional offices. The agency-wide records inventory has shown that low volumes of permanent electronic records are being created.

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)**

- Yes  
 No

The majority of WAPA's permanent records are in analog copy (paper and microfiche). The permanent records reside in various locations throughout WAPA so centralizing a digitization process is not cost effective. The permanent analog copies have been identified at Headquarters and the Regional Offices. Many analog permanent records are still used for current business needs. The WAPA RIM team is working on a case-by-case basis with the records owners on whether the analog permanent records need to be digitized or maintained in analog format.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or 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?**

Yes  
 No

WAPA offices and functions that may be eliminated due to reorganization have a records inventory and file plan. Records are maintained according the established records retention schedules and records management processes.

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>)

Yes  
 No

A records and information management steering committee has been assembled. The electronic records management solution requirements are in development. Advanced records management training for supervisors, managers, and designated records specialists has been created and is being rolled out on an office-by-office basis. The senior management team and administrative officers are collaborating to develop an agency-wide digitization strategy.

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.

Yes  
 No

Senior officials regularly meet with the Agency Records Officer who verifies their records are transferred as exiting employees and debriefs the senior officials on their records management responsibilities as former government employees.

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](#))?**

Yes  
 No

Records management is a funded program that works in partnership with IT, Legal and all WAPA business units to manage and maintain analog and electronic records. This includes record lifecycle management and record access controls.

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)**

Continue to be a clearing house for technologies that lend themselves to working in a totally electronic record environment so that users will be inclined to adopt doing business that way.