



Senior Agency Official for Records Management 2018 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.

The reporting period begins on March 11, 2019 with reports due back to NARA no later than April 19, 2019.

NARA plans to post your 2018 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, 2018.
- 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 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 **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 (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

Please explain your response: WAPA's Records and Information Management (RIM) Program and Information Technology (IT) have purchased an electronic records management system (ERMS) to manage permanent electronic records. WAPA is in the process of configuring the system and identifying any additional metadata elements. Then, WAPA will actively manage the electronic records management system.

3. **Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

- Yes
 No

Please explain your response: WAPA's Records Modernization Initiative (RMI) Project Plan and WAPA Records Management Strategic Plan align with the criteria and requirements for permanent electronic records.

4. **As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

Yes

No

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

WAPA RIM Strategic Goal 5 - Increase transparency of WAPA's Information Assets by ensuring that records are accessible and secure.

- Expand access of WAPA's electronic records to authorized users through ERMS.
- Digitize permanent paper records to allow for ready/easy access to authorized users and to enable transfer to NARA.
- Provide cyber protection to WAPA's Information Assets.

Metrics: All paper permanent records over 30 years old (based on information from a recent agency-wide records inventory) will be transferred to NARA. Paper permanent records over 30 years old that are still being used for business will be digitized.

5. Is your agency utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

Yes

No

Please explain your response: WAPA utilized the National Aeronautics and Space Administration's Solutions for Enterprise-Wide Procurement (SEWP) to assist WAPA in transitioning to an electronic environment. WAPA also incorporated the NARA Universal ERM Requirements into our electronic records requirements.

6. Have you, as the SAORM, established or improved your agency procedures that ensure 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

Changes were unnecessary (click [here](#) for your agency's 2017 report)

No, changes are being considered but have not been made

No

Please explain your response: WAPA's Agency Records Officer is continuing to enhance procedures surrounding senior management's records management responsibilities; to include, documenting their public service, use of personal email, and other recordkeeping requirements.

- 7. Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

Yes

No

Please explain your response: WAPA's records and information management steering committee provides oversight and guidance on the RMI. In addition, senior managers meet regularly to discuss WAPA's progress towards meeting the 2019 and 2022 deadlines. Additional support and resources have been requested to allow sufficient time to meet the deadlines.

- 8. Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

Yes

No

Please explain your response: WAPA is in the process of developing role-based records training for all staff. Contract staff have been retained for developing the training schedule and curriculum. WAPA is on track to implement our roll-based training program in FY2020. As we work towards implementation of role-based training, WAPA's Records Management Specialist has provided records management training with employees at Headquarters' and regional offices. WAPA has also established a SharePoint site to help inform and distribute information related to the transition to electronic records.

- 9. Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records**

management directives, policies, procedures, and retention schedules are being properly implemented?

Yes

No

Please explain your response: WAPA's Office of Internal Audit & Compliance (IA&C) is in the process of developing an approach to evaluate WAPA's progress towards compliance with records management directives, policies, procedures, and retention schedules. In addition, IA&C participates on WAPA's records and information management steering committee, which was established to monitor progress towards complying with the RMI. IA&C also tracks WAPA's implementation of corrective actions to address open recommendations from a 2017 Records Management Consulting Project conducted by NARA.

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

Yes

No

Please explain your response: WAPA is updating its existing processes and working towards managing all records electronically. WAPA will contact NARA if additional support is needed.