NATIONAL ARCHIVES

OFFICE *of the* CHIEF RECORDS OFFICER

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*, including implementing proper email management and 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 9, 2017 and reports are due back to NARA no later than March 17, 2017.

NARA plans to post your 2016 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.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- 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" 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: **P.O. 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

2. **Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)**

> **X** Yes
> ☐No

If No, please list and explain which part of your agency or components did not meet the deadline?

(Please note: Through a separate reporting request we will be asking your agency records officers to provide additional information regarding compliance with this target according to the email success criteria published by NARA in April 2016. *Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18)*

3. **Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)**

> ☐Yes
> **X** No

If No, please list which part of your agency or components did not and why?

WAPA is conducting an agency-wide records inventory to determine the records maintained across the agency. Geographically, WAPA encompasses 15 states with regional offices and field maintenance offices, all maintaining records which is logistically challenging. This agency-wide inventory will assist with determining new records and changes that are needed to current retentions due to changes in business practices, regulations, and laws. Various groups have reviewed initial drafts of their programmatic records schedules and we are determining as to what information needs to revised, changed or kept.

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4. **Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)**

        X Yes
        ☐No

If Yes, please describe this progress.

The WAPA RIM program and 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.

If No, please list which part of your agency or components did not and why?

5. **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

Please describe your specific plans or actions.

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.

6. **Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)**

        X Yes
        ☐No

If Yes, please describe what steps have been taken.
A records and information management steering committee is being put together. The electronic records management solution requirements are under development. Advanced

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records management training for supervisors, managers, and designated records specialists is being created and rolled out on an office-by-office basis. The senior management team and administrative officers are collaborating to develop an agency-wide digitization strategy.