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 19, 2021, and reports are due back to NARA no later than March 19, 2021.

NARA plans to post your 2020 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- 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 rmselfassessment@nara.gov. Include the words "SAORM 2020 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):

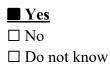- Name of SAORM: Jennifer R. Rodgers
- Position title: Chief Administrative Officer
- Address: 12155 West Alameda Parkway, Lakewood, CO 80228

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

Department of Energy – Western Area Power Administration

2. **Has the COVID-19 pandemic changed any policies or practices related to records management at your agency?**
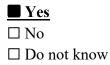
■ **Yes**
☐ No
☐ Do not know

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

While WAPA's records management policies have not changed, the COVID-19 pandemic caused many organizations to quickly reevaluate and update business processes to support digital work. The pandemic created a fundamental shift in the way we work. These changes only highlight the importance of transitioning to full electronic records management.

Shortly before the pandemic began, WAPA's IT completed an upgrade of our infrastructure to better support remote work. This upgrade took place over several years and was crucial to supporting the many WAPA employees working in a full-time telework status throughout the pandemic.
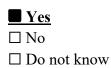
3. **Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)**

■ **Yes**
☐ No
☐ Do not know

Please provide details on what support is needed:

This year, WAPA established a team of program managers from records management, IT, strategy, risk management, asset management, and budget to coordinate and collaborate across functional areas. This team helped WAPA make decisions not only about specific tools and systems we will use, but also how to strategically leverage information to support workload management, asset management, project management, and more.

4. **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
☐ Do not know

Please explain your response (include specific goals and example metrics):
In December 2020, WAPA's RIM Program completed our electronic records management pilot where we worked with organizations to manage permanent and temporary electronic records. As part of this work WAPA:
- created a metadata content model that applies to all records captured by our electronic records management system, and
- established processes specifically on managing permanent electronic records.

The RIM Program will begin a WAPA-wide phased implementation in Spring 2021.

5. **Has your agency made progress towards managing all <u>temporary</u> records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

■ **Yes**
☐ No
☐ Do not know

Please explain your response (include specific goals and example metrics):
As noted in the response to question 4, WAPA completed our electronic records management pilot last year. WAPA is committed to comprehensively managing all of WAPA's records in electronic format by December 31, 2022.

6. **Is your agency investing resources in IT to support the transition to electronic recordkeeping?**

■ **Yes**
☐ No
☐ Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

Yes, in 2017 WAPA established a Records Modernization Initiative (RMI). The procurement and implementation of WAPA's electronic records management system became part of the IT capital planning process. Additionally, WAPA's IT personnel maintain a close working relationship with the RIM Program to ensure WAPA can fully transition to electronic records management.

7. **To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your agency have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)**

■ **Yes**
☐ No
☐ Do not know

Please explain your response (include specific goals and example metrics):
WAPA does not have any facilities that meet the regulatory definition of an "agency-operated records center." However, WAPA is working to send all paper permanent records to a NARA Federal Records Center by December 31, 2022. We are also continuing internal discussions on the best approach to temporary paper records storage areas across WAPA to ensure the most appropriate use of our buildings and work spaces.

8. **Does your agency have policies and procedures that include documentation to ensure records of <u>newly appointed and outgoing senior officials</u>* 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.
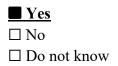
■ **Yes**
☐ No
☐ Do not know

Please explain your response (include specific details of policies and procedures):
WAPA manages email records outside the individual account's interface to ensure they are not improperly removed, altered, or deleted. WAPA's offboarding process assigns responsibility for ensuring records are retained under Federal control to the official designated to approving their departure. WAPA's RIM program drafted training for recently onboarded senior officials in 2020 and will implement this training in 2021.

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

■ **Yes**
☐ No
☐ Do not know

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

The biggest challenge WAPA sees to fully implementing electronic records management is reliance on the records creators to declare a record. Due to WAPA's size, fully automated records management is not a feasible option. The goal is to automate as much as possible, but many situations still require human interaction. Fortunately, as a public utility, WAPA is used to keeping evidence for external regulators and there is a strong recognition of the importance of records management.

10. **Do you have suggestions for NARA to improve its engagement with you as the SAORM?**

☐ Yes
■ **No**
☐ Do not know

Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions):