NATIONAL ARCHIVES

OFFICE *of the* CHIEF RECORDS OFFICER

Senior Agency Official for Records Management 2022 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 (OMB) and NARA issued a memorandum, *Transition to Electronic Records* (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines.

On December 23, 2022, OMB and NARA issued a new memorandum, *Update to Transition to Electronic Records* (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33.

This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

The reporting period begins on January 9, 2023, and reports are due back to NARA no later than March 10, 2023.

NARA plans to post your 2022 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 on our website.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- 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 2022 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.

NARA may follow up with agencies to obtain additional information and/or documentation related to responses provided in the template.

As in previous years, we will be validating selected questions and responses from agencies. Your agency may be selected at random to provide additional documentation and/or take part in interviews to discuss your records management program activities.

- Name of SAORM: Jennifer R. Rodgers
- Position title: Senior VP and Chief Administrative Officer

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

   Please provide a list and indicate any that are new or have been changed due to reorganization or other circumstances.

   Western Area Power Administration

2. **In response to the COVID-19 pandemic, have any of the temporary adaptations to agency business processes become permanent improvements to the management and preservation of electronic records?**

   ■ ***Yes***
   ☐ No
   ☐ Not applicable, no adaptations were needed
   ☐ Do not know

   Please explain your response. (If Yes, include details of the changes and why they became permanent. If No, or Do not know, please explain your answer.)
   The COVID-19 pandemic caused many WAPA offices to quickly transition to fully electronic processes. As WAPA began transitioning to a hybrid stance, the Records and

Information Management (RIM) Program stressed the benefits of working digitally. This included WAPA's Agency Records Officer providing guidance at our all-employee meeting on the "Future of Work" covering the importance of staying digital and tips on cleaning up paper files as many employees returned to their physical offices.

3. **Has your agency taken action to meet the goal to manage, preserve and transfer all permanent records in an electronic format with appropriate metadata by June 30, 2024? (M-19-21, 1.2 and M-23-07, 1.1 and 1.2)**

■ ***Yes***
☐ No
☐ Do not know

Please explain your response with specific actions taken, challenges and results.

Throughout 2022, WAPA's RIM Program fully implemented our electronic records management system across all 122 of our office-level Functional Records Leads (FRL). WAPA's RIM Program worked with each FRL to establish the minimum metadata needed to manage records, including permanent records. WAPA standardized the application or association of metadata with records to allow for as much automation of the records management process as possible. Additionally in 2022, WAPA completed our first accession of permanent electronic records to the National Archives and Records Administration.

4. **Has your agency taken action to meet the goal to manage and preserve all temporary records in an electronic format by June 30, 2024? (M-19-21, 1.3 and M-23-07, 1.3)**

■ ***Yes***
☐ No
☐ Do not know

Please explain your response with specific actions taken, challenges and results.
As noted in the response to question 3, WAPA's RIM Program has implemented formal electronic records capture processes for all 122 of our office-level Functional Records Leads. As part of this implementation, all offices were required to capture electronic records in an appropriate system.

5. **Will your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 to close agency-operated records storage facilities and transfer inactive, temporary records to Federal Records Centers or commercial records storage facilities by June 30, 2024?**

■ ***Yes***
☐ No
☐ Not applicable, all records are in electronic format
☐ Do not know

Please explain your response with specific actions taken, challenges and results.

WAPA's primary focus is to ensure all paper permanent records are sent to a NARA Federal Records Center by June 30, 2024. WAPA does not have any facilities that meet the regulatory definition of an "agency-operated records center" and we are also working to ensure many of our long-term temporary records are stored at NARA by the M-23-07 Deadline. In 2022, WAPA's RIM Program:

- Accessioned 34 linear feet of permanent records to the National Archives at Denver
- Transferred 253 linear feet of regional records the FRC at Denver
- Identified 280 linear feet of regional records and approximately 400 feet of Headquarters records to be transferred to the FRC at Denver

6. **Does your agency have policies and procedures that incorporate records management into the information governance (IG) framework for information, data, and other agency information management? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, Records Management (RM) Staff, Security, Privacy Officers, and FOIA)**

Note: The incorporation of records management into information governance is part of the framework covered by OMB Federal Data Strategy - A Framework for Consistency (M-19-18) as it provides a vision for managing and using federal data, along with recordkeeping requirements included in OMB Circular A-130, Managing Information as a Strategic Resource.

■ ***Yes***
☐ No
☐ Do not know

Please explain your response and provide details about how your agency's policies enhance IG and RM's role or relationship to it.

WAPA has an established team of program managers from records management, IT, strategy, asset management, and budget to coordinate and collaborate across functional areas. This team helps 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

7. **Has your agency developed policies and procedures to ensure the capture and preservation of electronic messages, including when hardware or software is upgraded?**

Note: Electronic messages means electronic mail and other electronic messaging systems that are used for purposes of communicating between individuals. Electronic messages that satisfy the definition of a federal record under the Federal Records Act are electronic records. This includes email, text messages, chat messages, voicemail, social media posts, and other similar applications. (See: Email Management and CFR 1236: Electronic Records Management)

■ ***Yes***
☐ No
☐ Do not know

Please explain your response and include details of your agency's methods to capture and preserve electronic messaging records or challenges preventing you from doing so.

WAPA is currently capturing electronic messages generated in the Office 365 Environment. WAPA is investigating ways to capture "texting" on government furnished devices but sees significant technical challenges to meaningfully capturing certain types of applications. WAPA plans on creating policies on appropriate use of electronic messaging platforms and what employees must do when records are created through other applications.

8. Is your agency using or exploring cognitive technologies to identify records and distinguish between temporary and permanent retention?

Note: Cognitive technologies generally describe automated technologies that can be applied to recordkeeping practices and procedures. These include Artificial Intelligence, Robotic Process Automation, Software Robot or Bot, and other machine learning technologies.

☐ Yes
■ ***No***
☐ Do not know

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

WAPA is using RPA and other machine learning capabilities, however these technologies are not used to identify or distinguish between temporary or permanent records.

9. Do you as SAORM regularly oversee and evaluate the effectiveness of your records management program and its compliance with statutes and regulations?

■ ***Yes***
☐ No
☐ Do not know

Please explain your response including what specific measures you have incorporated into the SAORM role.

As the SAORM, I have instructed all programs within my portfolio to develop program plans that include metrics and methods to verify effectiveness. For the RIM Program, our primary measures of compliance with statues and regulations are the Records Management Self-Assessment and Federal Electronic Records and Email Management annual reports.

Additionally in FY2022, I ensured all WAPA Senior Executives had records management performance measures to comply with M-19-21 in their annual performance plans.

10. Is there specific policy or guidance you need from NARA to support the strategic direction of your records management program?

☐ Yes
■ ***No***
☐ Do not know

Please explain your response and include any comments on existing, pending, and future topics.

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

☐ Yes
■ ***No***
☐ Do not know

Please explain your response and include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions.