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 rmselfassesssment@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**: Elliot E. Mainzer
- **Position title**: Administrator and Chief Executive Officer
- **Address**: DOE - Bonneville Power Administration
  905 NE 11<sup>th</sup> Avenue
  Portland, OR 97232

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: DOE - Bonneville Power Administration

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)**

   X Yes
   □ No

   Please explain your response:

   BPA continues its progress in managing all unstructured data management of permanent electronic records with its use of Discovery Core, a records management solution. For the structured electronic information systems, all known systems have been inventoried and scheduled.

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)?**

   X Yes
   □ No

   Please explain your response:

   BPA’s Information Governance and Lifecycle Management (IGLM) Program addresses the high level view, the operational activities, and the Universal Electronic Records Management Requirements that are recommended in the *Criteria*. Our Program, which is part of the Compliance organization, monitors agency compliance with the Federal Records Act and 36 CFR Chapter Subchapter B Records Management. The Program has
developed records and information management policies, operational activities for managing permanent electronic records, and administers our Discovery Core solution.

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.

   X Yes
   ☐ No

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

   BPA is committed to a fully electronic environment and our business processes and recordkeeping reflect our commitment to the Administration’s recommendations. Any legacy permanent paper records that we have are digitized before transferring to NARA and we are developing a plan to digitize any permanent records that will not be accessioned by NARA by December 31, 2022.

5. Is your agency utilizing General Service Administration’s Schedule 36 to procure solutions to assist in transitioning to an Electronic Environment?

   ☐ Yes
   X No

   *Please explain your response:*

   No, BPA’s contracting activity is authorized by the Bonneville Project Act, and we are not subject to the Federal Acquisition Regulations. The Bonneville Purchasing Instructions establish BPA-wide policies and procedures for the purchase of supplies and services (including construction services) by BPA.

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
X 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:

BPA’s Agency Records Officer is notified of all departing senior agency officials and conducts exit interviews. Topics discussed in these interviews include, but are not limited to, records location(s) transfer of custody to other personnel or organizations or disposition, identification of sensitive information including Personally Identifiable Information and the removal of personal papers.

All new employees, including senior agency officials, are required to complete IGLM web-based training within 30 days of new employee orientation and annually thereafter. Topics include, but are not limited to, information asset lifecycle, record management responsibilities, and use of personal email.

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
X No

Please explain your response:

BPA’s Information Governance program is within the Compliance and Governance organization. As such, it is built on a Governance, Risk and Compliance model which has program elements of: Program Management and Administration; Standards, Policies and Procedures; Training, Communication and Education; Monitoring, Auditing and Reporting Systems; and Response, Investigation, Discipline and Incentives and Risk Assessment and Management. These program elements allow for all the achievement of the records management strategy listed in OMB Circular A-130, including, but not limited to, proper records management (regardless of form), an approved “big bucket”
retention schedule from the Archivist of the United States and mandatory agency-wide training, including new hire training.

Additionally, BPA has procured an unstructured data management solution – called Discovery Core – that has and will further help the agency appropriately manage, maintain, and dispose of its electronic records in unstructured form in the email system, SharePoint sites, and network drives. This system was implemented for the email system in FY16, for SharePoint sites and network drives in FY17-FY18, and is scheduled for completion in FY19.

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
X No

Please explain your response:

BPA considers anyone with access to BPA systems responsible for management of Federal records. Our training programs are not differentiated by recordkeeping responsibility because all employees, contractors, senior executives, and appointees are provided that same training that incorporates the requirements found in NARA Bulletin 2017-01.

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?

X Yes
☐ No

Please explain your response:

BPA records management staff participate in annual assessments of various BPA organizations regarding information management and security. Organizations are evaluated on their records management practices and if potential risks are found, those organizations are counseled and re-assessed the following year for improvement. Additionally, we review our information asset plans on a regular cycle.
10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

☐ Yes
X No

Please explain your response:

BPA currently receives and tracks guidance from NARA on multiple capabilities associated with Records Management and Information Governance. At this time, BPA is receiving appropriate and actionable policies, guidance, and resources from NARA to meet its needs.