



Senior Agency Official for Records Management 2020 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 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 rmsselfassessment@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: John L. Hairston
- Position title: Administrator and Chief Executive Officer
DOE – Bonneville Power Administration

- Address: DOE- Bonneville Power Administration
905 NE 11th 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 provide a list, and also indicate any that are new or have been changed due to reorganization or other circumstances.

DOE – Bonneville 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):

BPA has been unable to enter our records holding area in our headquarters facility to dispose of temporary physical records and prepare offers to NARA of any eligible analog permanent records. Additionally, BPA is retaining all COVID related records permanently because they are unscheduled.

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:

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):

BPA has developed a strategic plan with quarterly milestones and we are on track to meet the deadline. BPA continues its progress in managing all unstructured permanent records including metadata in electronic format with the use of Discovery Core, BPA's electronic management application. Additionally, BPA policy requires that records created or received in electronic format be kept in native format (BPA Policy 236-200, *Managing Unstructured Data as Information Assets*). Structured electronic information systems are required to be inventoried and scheduled (BPA Policy 236-300, *Enterprise Data Governance*).

5. Has your agency made progress towards managing all temporary 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):

BPA has developed a strategic plan with quarterly milestones and we are on track to meet the deadline. The majority of BPA's records are in electronic format with the exception of organizations that use a mix of paper and electronic records in their business processes. We continue to move to electronic formats whenever possible. Additionally, BPA policy requires that records created or received in electronic format be kept in native format (BPA Policy 236-200, *Managing Unstructured Data as Information Assets*).

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.

BPA has been meeting the challenges of electronic recordkeeping by investing in IT resources with the implementation of the records management application Content Manager (formerly owned by HP, now Micro Focus) and indexing tool, Control Point. Currently 90% of the

agency's unstructured data across Sharepoint and network drives is indexed, allowing us to proceed with implementation of Control Point and Content Manager. Additionally, systems are purchased or developed using the System Lifecycle (SLC) process which includes records and information management requirements.

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):

BPA does not operate an agency storage facility and does not need to change its procedures to meet this requirement.

8. Does your agency have policies and procedures that include documentation to ensure records of newly appointed and outgoing senior officials* 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):

BPA has a documented procedure for records management staff to follow when employees (including senior agency officials) leave BPA (*Final Pay Clearance Records Process*, last updated in 2020). As part of this procedure, the Agency Records Officer conducts a records exit interview with senior agency officials that includes, but is not limited to, the following topics: sensitive/classified materials, personnel records, hard copies, computer equipment, emails and personal papers. A memo is created documenting the topics discussed, the transfer of records to another employee and any (if applicable) copies of work product are authorized for removal.

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):

BPA, as with all Federal agencies, is making a steady transition to an entirely digital environment. Those organizations that retain some paper records within their business process will require greater resources to meet this goal.

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):

BPA currently uses guidance and training resources available on NARA's website and records management staff attend Bimonthly Records and Information Discussion Group (BRIDG) meetings hosted by NARA. BPA also receives notices from NARA and the DOE Records Management Program.