



Senior Agency Official for Records Management FY 2015 Annual Report

The *Managing Government Records Directive (M-12-18)* requires Senior Agency Officials (SAOs) for Records Management 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 November 16, 2015, and reports are due back to NARA no later than COB January 29, 2016.

Please note that NARA will post a version of your 2015 SAO report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. Please let us know whether there is a specific justification as to why your report cannot be publicly shared (in whole or in part).

Instructions for Reporting

- This template covers progress through fiscal year (FY) 2015.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the eight questions/items on the following pages and send the report to prmd@nara.gov. Include the words “SAO annual report” and your agency’s 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 SAO: **Elliot E. Mainzer**

Position title: **Administrator and Chief Executive Officer
DOE - Bonneville Power Administration**

Address: **DOE - Bonneville Power Administration
905 N.E. 11th Avenue
Portland, OR 97232**

Office telephone number: **503-230-3000**

1. What are the agencies, components, or bureaus covered by this report and your position as SAO?

Please list them below: **DOE - Bonneville Power Administration**

2. Is your agency going to meet the *Directive* goal to manage all email records in an accessible electronic format by December 31, 2016? (*Directive Goal 1.2*)

Yes No

2a) *Provide a list of actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- *establishing formally approved email policies,*
 - *use of any automated systems for capturing email,*
 - *providing access / retrievability of your email,*
 - *establishing disposition practices for agency email (either destroy in agency or transfer to NARA), and*
 - *possible implementation of the Capstone approach for applicable agency email.*
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- **In FY 2015 BPA procured an unstructured data management (UDM) solution for managing Federal records in electronic format, including email.**
 - **BPA updated its email policy (BPA Internal Policy 236-260) in FY 2015 to include provisions on the use of personal email accounts to conduct agency business to reflect the changes to the Federal Records Act.**
 - **BPA has implemented annual mandatory Information Governance & Lifecycle Management training (which includes email policy training), for**

all executives, employees and contractors. The response rate on completed training in FY 2015 was over 90%.

- **BPA's Email/Exchange system has a default 90 day disposition policy with an optional 2- year retention tag. Emails determined to contain Federal record material are stored in an email archive or moved out of the email system into an appropriate structured electronic information system.**

2b) *Provide a list of the actions your agency, components, or bureaus plan to take in 2016 to meet this goal.*

- **BPA will implement an unstructured data management (UDM) solution. Project milestones include, detailed design phase (completed in Q1), pilot group testing (in Q3-4) and rollout to all executives, employees and contractors (FY 16 Q4 – FY17 Q1).**
- **The Information Governance program is currently evaluating the use of NARA's Capstone guidance for Executive Office and SES officials' email.**
- **The Information Governance policy team is reviewing formal policies, including email and Capstone; policies will be updated as required for UDM solution implementation.**

3. Has your agency taken actions to implement the 2014 amendments to the *Federal Records Act* requiring Federal employees to copy or forward electronic messages (including email, texts, chats, and instant messaging) that are federal records from their non-official accounts to official accounts within 20 days?

Yes No

Please provide a brief description of the actions taken, such as establishing policies and providing training.

- **BPA updated its email policy (BPA Internal Policy 236-260) in FY 2015 to include provisions on the use of personal email accounts to conduct agency business to reflect the changes to the Federal Records Act.**
- **Changes to email policy 236-260 are being incorporated into FY 2016 annual mandatory Information Governance & Lifecycle Management training required for all executives, employees and contractors.**

4. Describe your agency's internal controls for managing electronic messages (including email, texts, chats, and instant messaging) of the agency head and other executives (including appropriate advisers, and other senior management staff).

- **All BPA employees and contractors, including executives, have a default 90 day retention policy for email with an optional 2-year retention tag. Emails determined to contain Federal record material are stored in an email archive or moved out of the email system into an appropriate structured electronic information system. BPA is currently evaluating**

the use of Capstone approach for managing email for Executives and SES officials.

- **Formal policies (BPA Internal Policy 236-14 and 236-260 address the use of electronic messaging (including email, texts and instant messaging).**
- **Annual mandatory Information Governance & Lifecycle Management training, including email policy training, is required for all executives, employees and contractors.**
- **BPA’s UDM solution will include management of all emails in its recordkeeping system.**

5. Is your agency going to meet the *Directive* goal to submit records schedules to NARA for all existing paper and other non-electronic records by December 31, 2016? (*Directive Goal 2.5*)

Yes No

5a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal.*

- **BPA uses a Large Aggregate Flexible (or ‘big bucket’) scheduling system. Although specific file codes are revised or identified on an ongoing basis, all of BPA’s records are scheduled within its big bucket system – therefore the agency currently has no unscheduled records. The ‘big bucket’ is media neutral.**

5b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

6. Is your agency going to meet the *Directive* goal to manage all permanent electronic records in an electronic format by December 31, 2019? (*Directive Goal 1.1*)

Yes No

6a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- *establishing formally approved electronic records policies,*
- *use of any automated systems for capturing electronic records,*
- *providing access / retrievability of your electronic records, and*
- *establishing disposition practices for agency electronic records.*
- **In FY 2015 BPA procured an unstructured data management (UDM) solution for managing Federal records in electronic format (including email), that will ensure the appropriate management and transfer to NARA of the agency’s permanent electronic records.**

6b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

The following items are expected to take place in FY16 – FY17

- **Implementing an unstructured data management (UDM) solution including, detailed design phase, pilot group testing and rollout.**
- **Implementing Capstone for Executive Office and SES officials.**

7. Please provide any insight to your agency's efforts to implement the *Managing Government Records Directive* and the transition to a digital government.

Provide a brief description, including any positive or negative outcomes, challenges, and other obstacles.

- **Two key elements have ensured BPA's progress in meeting the Managing Government Records Directive:**
 - **Chartering of a formal Information Governance Oversight Team (IGOT) whose purpose is to oversee governance of and compliance with BPA's regulatory and business obligations to appropriately collect, manage, maintain, secure, produce and dispose of agency records and information assets under statutory requirements. The IGOT also monitors and shapes BPA's policies and practices as they relate to these activities.**
 - **Support from Senior Executives for information governance compliance, in part through the reporting structure of the IGOT to the Agency Compliance and Governance Committee, consisting of senior executives, but also through ongoing support for IGOT initiatives and the UDM solution.**

8. With regard to records management, is your agency preparing for the upcoming change in Presidential administration?

Yes No

8a) *Provide a list of the actions your agency, components, or bureaus have taken to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration.*

- **BPA does not have political appointees so we do not anticipate a significant impact to records as a result of the transition in Presidential administrations. However, as part of BPA's continuing records management through the Information Governance and Lifecycle Management program, we will:**
 - **Implement NARA's Capstone approach for managing emails for Executive Office and SES officials; and**
 - **Ensure continued use of Senior Agency Official Records Exit Interviews for all Senior Executive Service personnel.**

- 8b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration, including ensuring that federal records are not improperly removed from the agency.*

BPA anticipates that 1) Implementing Capstone for Executive Office and SES officials; 2) Senior Agency Official Records Exit Interviews; and 3) Implementation of Unstructured Data Management (UDM) solution will ensure that Federal records of departing officials will continue to be appropriately managed, maintained and disposed of according to agency policy and records schedules.