The OMB/NARA *Managing Government Records Directive* (M-12-18) requires Senior Agency Officials for Records Management (SAORM) 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* 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 January 8, 2018 and reports are due back to NARA no later than March 16, 2018.

NARA plans to post your 2017 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, 2017.
- 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 PRMD@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**
                          DOE - Bonneville Power Administration
- Address   **DOE - Bonneville Power Administration**
                          905 NE 11th Avenue
                          Portland, OR 97232
- Office telephone number **503-230-3000**

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

   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)**

   ☑Yes
   ☐No

   Please explain your response:

   In FY2015 BPA procured an unstructured data management (UDM) solution for managing Federal records in electronic format (including email). The solution, called Discovery Core, is now being implemented across the agency and will help to ensure the appropriate management and transfer to NARA of the agency's permanent electronic records.

3. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

   ☑Yes
   ☐No

   Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.

   BPA's policy on digitization (236-160 Digitalizing Records from Physical Media) was originally published in 2012 and was reviewed and is in the process of being republished in FY18. BPA does not require that Federal records – including permanent records – in physical media be

digitized unless they are at risk of being damaged or destroyed, which may result in the loss of the record. However, based upon business analysis by the Office of Record, digitization may be an effective way to maintain and manage a collection that exists only in physical media.

At the request of the Seattle, Washington Federal Records Center, BPA digitizes and submits all permanent records being offered to NARA that originate at BPA facilities. Any physical records being stored at the Seattle, WA FRC that are being offered to NARA remain in their physical form.

4. **OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

    ☑Yes
    ☐No

Please explain your response:

BPA manages an Office of Record's information assets, including Federal records, on an Information Asset Plan (IAP). Information Governance & Lifecycle Management (IGLM) is notified of all reorganizations at the agency. This notification triggers a review of the relevant organization's IAP. IGLM staff works with these organizations to update their IAP, including transfer of responsibility for information assets. These updates are also programmed into our record Electronic Recordkeeping System that manages record content in the email system, SharePoint sites, and network drives.

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html)

    ☑Yes
    ☐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 & Administration; Standards, Policies & Procedures; Training, Communication & Education; Monitoring, Auditing & Reporting Systems; and Response, Investigation, Discipline & Incentives and Risk Assessment & 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, and is scheduled for completion in FY18.

6. **Have you, as the SAORM, ensured that 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
   ☐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. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? (OMB Circular A-130, Managing Information as a Strategic Resource)?**

   ☑Yes
   ☐No

   Please explain your response:

BPA's Information Governance program is located 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 & Administration; Standards, Policies and Procedures; Training, Communication & Education; Monitoring, Auditing & Reporting Systems; and Response, Investigation, Discipline & Incentives and Risk Assessment & Management. These program elements allow for the achievement of the all aspects 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, mandatory agency-wide training, and policies, guidance and standards specific to data and information managed through the agency's structured electronic information systems.

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, and is scheduled for completion in FY18.

8. What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)

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.