



Department of Energy

Bonneville Power Administration
P.O. Box 3621
Portland, Oregon 97208-3621

FREEDOM OF INFORMATION ACT/PRIVACY PROGRAM

January 15, 2019

In reply refer to: FOIA #BPA-2019-00268-F

John Cofrancesco
Active Navigation
11720 Plaza America Drive
Reston, VA 20190
Email: John.Cofrancesco@activenavigation.com

Dear Mr. Cofrancesco,

This communication is the Bonneville Power Administration's (BPA) final response to your request for agency records made under the Freedom of Information Act, 5 U.S.C. § 552 (FOIA). Your records request was received on December 17, 2018 and was formally acknowledged on December 21, 2018.

Request

“...the BPA Records Management self-assessment agency report [annually collected by the National Archives and Records Administration (NARA)]...”

Response

The agency's self-assessment agency report sent to NARA is comprised of 61 pages. BPA is herein releasing those 61 pages of records responsive to your request, with no redactions applied.

Fee

There are no FOIA fees applicable to the fulfillment of your request for BPA records.

Certification

Pursuant to 10 C.F.R. § 1004.7(b)(2), I am the individual responsible for the records release and determinations described above. Your FOIA request BPA-2019-00268-F is now closed with all available agency records provided.

Appeal

The adequacy of the search may be appealed within 90 calendar days from your receipt of this letter pursuant to 10 C.F.R. § 1004.8. Appeals should be addressed to:

Director, Office of Hearings and Appeals
HG-1, L'Enfant Plaza
U.S. Department of Energy
1000 Independence Avenue, S.W.
Washington, D.C. 20585-1615

The written appeal, including the envelope, must clearly indicate that a FOIA appeal is being made. You may also submit your appeal by e-mail to OHA.filings@hq.doe.gov, including the phrase "Freedom of Information Appeal" in the subject line. (The Office of Hearings and Appeals prefers to receive appeals by email.) The appeal must contain all the elements required by 10 C.F.R. § 1004.8, including a copy of the determination letter. Thereafter, judicial review will be available to you in the Federal District Court either (1) in the district where you reside, (2) where you have your principal place of business, (3) where DOE's records are situated, or (4) in the District of Columbia.

You may contact BPA's FOIA Public Liaison, Jason Taylor, at the address on this letter header for any further assistance and to discuss any aspect of your request. Additionally, you may contact the Office of Government Information Services (OGIS) at the National Archives and Records Administration to inquire about the FOIA mediation services they offer. The contact information for OGIS is as follows:

Office of Government Information Services
National Archives and Records Administration
8601 Adelphi Road-OGIS
College Park, Maryland 20740-6001
E-mail: ogis@nara.gov
Phone: 202-741-5770
Toll-free: 1-877-684-6448
Fax: 202-741-5769

Questions about this communication may be directed to Thanh Knudson, Flux Resources, LLC, at etknudson@bpa.gov or 503.230.5221

Sincerely,



Candice D. Palen
Freedom of Information/Privacy Act Officer

Responsive records attached

1. Is there a person in your agency who is responsible for coordinating and overseeing the implementation of the records management program? (36 CFR 1220.34(a))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

2. Please provide the person's name, position title, and office.

Text Response

Christopher M. Frost Information Governance Supervisor Agency Records Officer, FOIA/Privacy Officer Information Governance - CGI

3. How long has this person been responsible for coordinating and overseeing the implementation of the records management program?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> 5 or more years		1	100%
2	<input checked="" type="checkbox"/> 3 to 4 years		0	0%
3	<input checked="" type="checkbox"/> 1 to 2 years		0	0%
4	<input checked="" type="checkbox"/> Less than a year		0	0%
Total			1	

4. Does your agency have a documented and approved records management directive(s)? (36 CFR 1220.34(c))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No, pending final approval		0	0%
3	<input checked="" type="checkbox"/> No, under development		0	0%
4	<input checked="" type="checkbox"/> No		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

5. When was your agency's directive(s) last reviewed and/or revised to ensure it includes all new records management policy issuances and guidance?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> FY 2016 - present		0	0%
2	<input checked="" type="checkbox"/> FY 2014 - 2015		1	100%
3	<input checked="" type="checkbox"/> FY 2012 - 2013		0	0%
4	<input checked="" type="checkbox"/> FY 2011 or earlier		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
7	<input checked="" type="checkbox"/> Not applicable, agency does not have a records management directive		0	0%
Total			1	

6. Does your agency have a network of designated employees within each program and administrative area who are assigned records management responsibilities? These individuals are often called Records Liaison Officers (RLOs) though their titles may vary. (36 CFR 1220.34(d))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		1	100%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, agency has less than 100 employees		0	0%
5	<input checked="" type="checkbox"/> Not applicable, Departmental Records Officer - this is done at the component level		0	0%
Total			1	

7. Does your agency have internal records management training*, based on agency policies and directives, for employees assigned records management responsibilities? (36 CFR 1220.34(f)) *Includes NARA's records management training workshops that were customized specifically for your agency or use of an agency customized version of the Federal Records Officer Network (FRON) RM 101 course.

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No, pending final approval		0	0%
4	<input checked="" type="checkbox"/> No, under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
6	<input checked="" type="checkbox"/> Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

8. Has your agency developed mandatory internal, staff-wide, formal training*, based on agency policy and directives, which helps agency employees and contractors fulfill their recordkeeping responsibilities and covers records in all formats, including email, text messages, chat, or other electronic communication messaging applications or platforms such as social media or mobile device applications? ** (36 CFR 1220.34(f)) *Includes NARA's records management training workshops that were customized specifically for your agency or use of an agency customized version of the Federal Records Officer Network (FRON) RM 101 course. **Components of departmental agencies may answer "Yes" if this is handled by the department. Department Records Officers may answer "Yes" if this is handled at the component level.

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No, pending final approval		0	0%
4	<input checked="" type="checkbox"/> No, under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

9. Does your agency require that all senior and appointed officials, including those incoming and newly promoted, receive training on the importance of appropriately managing records under their immediate control? (36 CFR 1220.34(f))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

10. Is records management training included in the new hire in-processing for new employees in your agency?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No, pending final approval		0	0%
4	<input checked="" type="checkbox"/> No, under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

11. Please add any additional comments about your agency for Section I: Activities. (Optional)

Text Response

All new employees including senior officials are required to complete Information Governance and Lifecycle Management training within 30 days of new employee orientation and annually thereafter. In addition, Information Governance participates in new employee orientation to provide information on all of its programs (IGLM, FOIA and Privacy). IGLM also offers targeted live trainings for topics such as: Information Asset Planning, Filing to Retrieve, and other topics, as well as FAQs and step-by-step materials posted to the internal Information Governance website.

12. In addition to your agency's established records management policies and records schedules, has your agency's records management program developed and implemented internal controls to ensure that all eligible, permanent agency records in all media are transferred to NARA according to approved records schedules? (36 CFR 1222.26(e)) ** These controls must be internal to your agency. Reliance on information from external agencies (e.g., NARA's Federal Records Centers) or other organizations should not be considered when responding to this question. * Examples of records management internal controls include but are not limited to:

- Regular briefings and other meetings with records creators
- Approval process for handling transfer notices from Federal Records Centers
- Monitoring and testing of file plans
- Regular review of records inventories
- Internal tracking database of permanent record authorities and dates

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No, pending final approval		0	0%
4	<input checked="" type="checkbox"/> No, under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

13. In addition to your agency's established policies and records schedules, has your agency developed and implemented internal controls to ensure that Federal records are not destroyed before the end of their retention period? (36 CFR 1222.26(e)) ** These controls must be internal to your agency. Reliance on information from external agencies (e.g., NARA's Federal Records Centers) or other organizations should not be considered when responding to this question. * Examples of records management internal controls include but are not limited to:

- Regular review of records inventories
- Approval process for disposal notices from off-site storage
- Require certificates of destruction
- Monitoring shredding services
- Performance testing for email
- Monitoring and testing of file plans
- Pre-authorization from records management program before records are destroyed
- Ad hoc monitoring of trash and recycle bins
- Notification from facilities staff when large trash bins or removal of boxes are requested
- Annual records clean out activities sponsored and monitored by records management staff

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No, pending final approval		0	0%
4	<input checked="" type="checkbox"/> No, under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

14. Does your agency evaluate, by conducting inspections/audits/reviews, its records management program to ensure that it is efficient, effective, and compliant with all applicable records management laws and regulations? ** For this question, your agency's records management program, or a major component of the program (e.g., vital records identification and management, the records disposition process, records management training, or the management of your agency's electronic records), must be the primary focus of the inspection/audit/review.

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No, please explain		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

No, please explain

15. How often is your records management program, or a major component of your program, evaluated for compliance with agency records management policies and procedures?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Every 1 - 2 years		1	100%
2	<input checked="" type="checkbox"/> Every 3 - 4 years		0	0%
3	<input checked="" type="checkbox"/> Every 5 years		0	0%
4	<input checked="" type="checkbox"/> More than every 5 years		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
7	<input checked="" type="checkbox"/> Not applicable, agency does not evaluate its records management program		0	0%
Total			1	

16. Was a formal written report prepared as part of the most recent inspection/audit/review?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
5	<input checked="" type="checkbox"/> Not applicable, agency does not evaluate its records management program		0	0%
Total			1	

17. Do your agency's evaluation procedures include creating plans of corrective action that are monitored for implementation?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, agency does not evaluate its records management program		0	0%
Total			1	

18. Has your agency established performance goals for its records management program? *Examples of performance goals include but are not limited to:

- Identifying and scheduling all paper and non-electronic records by the end of FY 2017
- Developing computer-based records management training modules by the end of FY 2017
- Planning and piloting an electronic records management solution for email by the end of FY 2017
- Updating records management policies by the end of the year
- Conducting records management evaluations of at least one program area each quarter

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Currently under development		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

19. Has your agency's records management program identified performance measures for records management activities such as training, records scheduling, permanent records transfers, etc.? *Examples of performance measures include but are not limited to:

- Percentage of agency employees that receive records management training in a year
- A reduction in the volume of inactive records stored in office space
- Percentage of eligible permanent records transferred to NARA in a year
- Percentage of records scheduled
- Percentage of offices evaluated/inspected for records management compliance
- Percentage of email management auto-classification rates
- Development of new records management training modules
- Audits of internal systems
- Annual updates of file plans
- Performance testing for email applications to ensure records are captured

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Currently under development		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

20. Does your agency's records management program have documented and approved policies and procedures that instruct staff on how your agency's permanent records in all formats must be managed and stored? (36 CFR 1222.34(e))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No, pending final approval		0	0%
4	<input checked="" type="checkbox"/> No, under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

21. Has your agency identified the vital records of all its program and administrative areas? (36 CFR 1223.16)

*Departmental agency components may answer "Yes" if this is handled at the department level.

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

22. How often does your agency review and update its vital records inventory? (36 CFR 1223.14)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Annually		0	0%
2	<input checked="" type="checkbox"/> Every 2 - 3 years	<div style="width: 100%;"></div>	1	100%
3	<input checked="" type="checkbox"/> Every 4 - 6 years		0	0%
4	<input checked="" type="checkbox"/> Never		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

23. Is your vital records plan part of the Continuity of Operations (COOP) plan?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

24. Does your agency identify and analyze internal and external risks to records and information?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> To some extent	<div style="width: 100%;"></div>	1	100%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

25. Does your agency have policies in place to protect records and information from internal and external risks?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No, pending final approval		0	0%
4	<input checked="" type="checkbox"/> No, under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

26. The Agency Records Officer and the FOIA Officer:

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Are the same person	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> Coordinate closely together		0	0%
3	<input checked="" type="checkbox"/> Know each other but do not work together		0	0%
Total			1	

27. Please provide the FOIA Officer's name, position title, and contact information.

Text Response

28. The FOIA Officer can find records needed to respond to a FOIA request. Select on the sliding scale a number between 1 and 5, with 1 being with difficulty and 5 being easily.

#	Answer	Min Value	Max Value	Average Value	Standard Deviation	Responses
1	<input checked="" type="checkbox"/> 1 = With Difficulty 5 = Easily	4.00	4.00	4.00	0.00	1

29. Does your agency use software or other technology to process, track, de-duplicate responsive records, redact records, and respond to FOIA requests?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> To some extent		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

30. Please list the software or other technology used by your agency to process, track, de-duplicate responsive records, redact records, and respond to FOIA requests.

Text Response

SharePoint FOIAXpress Adobe Pro Summation

31. Do FOIA programs throughout your agency have standard operating procedures for the entire FOIA process including intake/triage, fees, expedited processing, search, review, estimated dates of completion, and response?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> To some extent		0	0%
4	<input checked="" type="checkbox"/> Under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			0	

32. Have FOIA programs throughout your agency identified performance measures for FOIA activities? *Examples of performance measures for FOIA programs include but are not limited to: Number of pages processed Reduction in response times Reduction in backlog Increase in proactive disclosures

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> To some extent		0	0%
4	<input checked="" type="checkbox"/> Under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

33. Why not?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Do not know how to determine what performance measures are needed		0	0%
2	<input checked="" type="checkbox"/> My agency has performance measures but not specific to FOIA		0	0%
3	<input checked="" type="checkbox"/> Do not understand the question		0	0%
4	<input checked="" type="checkbox"/> Other, please explain		0	0%
Total			0	

Other, please explain

34. Do FOIA programs throughout your agency alert requesters to the dispute resolution services offered by the Office of Government Information Services (OGIS)*? *The Office of Government Information Services (OGIS) is a FOIA resource for both the public and the Government. Congress mandated OGIS with reviewing agency compliance with FOIA, identifying policies and procedures for improving FOIA compliance, and providing mediation services to resolve FOIA disputes between Federal agencies and requestors.

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

35. Are you familiar with the changes to this law?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> To some extent		0	0%
3	<input checked="" type="checkbox"/> No		0	0%
Total			1	

36. Has your agency started to identify records that are of general interest or use to the public that are appropriate for public disclosure? (P.L. 114-185)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> To some extent		1	100%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

37. Please add any additional comments about your agency for Section II: Oversight and Compliance. (Optional)

Text Response

A significant development in BPA's oversight and compliance over the past two years has been certain organizational re-structuring and partnering with other organizations. In Q1 of FY2016, BPA created the Information Governance organization, which includes the Information Governance & Lifecycle Management, FOIA, and Information Collection/Privacy programs. Integration of these programs has improved the ability of each to perform its oversight and compliance obligations. Moreover, the Information Governance organization has partnered with Continuity of Operations to use our information asset plans as part of the vital/essential records inventory, as well as partnering with Information Security to perform inspections that identify records, security, and PII risks across the enterprise.

38. Are records and information in your agency managed throughout the lifecycle [creation/capture, classification, maintenance, retention, and disposition] by being properly identified, classified using a taxonomy, inventoried, and scheduled? (36 CFR 1222.34, 36 CFR 1224.10 and 36 CFR 1225.12)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> To some extent		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

39. Are records and information in your agency easily retrievable and accessible when needed for agency business? (36 CFR 1220.32(c))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes, all records are easily retrievable and accessible when needed		0	0%
2	<input checked="" type="checkbox"/> Most records can be retrieved and accessed in a timely manner		1	100%
3	<input checked="" type="checkbox"/> Some records can be retrieved and accessed in a timely manner		0	0%
4	<input checked="" type="checkbox"/> No		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

40. When was the last time your agency submitted a records schedule to the National Archives of the United States?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> FY 2014 - 2016		0	0%
2	<input checked="" type="checkbox"/> FY 2011 - 2013		0	0%
3	<input checked="" type="checkbox"/> FY 2008 - 2010		0	0%
4	<input checked="" type="checkbox"/> FY 2007 or earlier		1	100%
7	<input checked="" type="checkbox"/> Do not know, please explain		0	0%
Total			1	

Do not know, please explain

41. Does your agency have permanent records that are 30 years old or older that are located in agency office space, agency-operated records centers, and/or commercial records centers? (36 CFR 1235.12(b) and M-12-18))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

42. When do you plan on transferring these records to NARA?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> FY 2017		1	100%
2	<input checked="" type="checkbox"/> FY 2018		0	0%
3	<input checked="" type="checkbox"/> FY 2019		0	0%
4	<input checked="" type="checkbox"/> FY 2020		0	0%
5	<input checked="" type="checkbox"/> After FY 2020		0	0%
6	<input checked="" type="checkbox"/> Do not know, please explain		0	0%

Do not know, please explain

43. Are you aware of the requirement to formally request permission from NARA to retain permanent records beyond that time specified in your agency's NARA-approved records schedules as outlined in 36 CFR 1235.14 and 1235.16?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
	Total		1	

44. Does your agency disseminate every approved disposition authority (including newly approved records schedules and General Records Schedules items) to agency staff within six months of approval? (36 CFR 1226.12(a))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
	Total		1	

45. What method(s) does your agency use? (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Post to internal website or other shared information location		1	100%
2	<input checked="" type="checkbox"/> Memorandum or email notification		0	0%
3	<input checked="" type="checkbox"/> Update training materials		0	0%
4	<input checked="" type="checkbox"/> Update records management policies and/or handbooks		1	100%
5	<input checked="" type="checkbox"/> Other, please explain		1	100%

Other, please explain

In the information asset planning (IAP) process, the IGLM team discusses current records schedules that may be applicable to an organization's records and captures the assignment of those schedules on the IAP.

46. Did your agency transfer permanent non-electronic records to NARA during FY 2016? (36 CFR 1235.12)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No - No records were eligible for transfer during FY 2016		0	0%
4	<input checked="" type="checkbox"/> No - New agency, records are not yet old enough to transfer		0	0%
5	<input checked="" type="checkbox"/> No - My agency does not have any permanent non-electronic records		0	0%
6	<input checked="" type="checkbox"/> Do not know		0	0%
7	<input checked="" type="checkbox"/> Other, please explain		0	0%
Total			1	
Other, please explain				

47. Did your agency transfer permanent electronic records to NARA during FY 2016? (36 CFR 1235.12)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		0	0%
4	<input checked="" type="checkbox"/> No - No electronic records/systems were eligible for transfer during FY 2016		1	100%
5	<input checked="" type="checkbox"/> No - New agency, electronic records/systems are not old enough to transfer		0	0%
7	<input checked="" type="checkbox"/> Do not know		0	0%
8	<input checked="" type="checkbox"/> Other, please explain		0	0%
9	<input checked="" type="checkbox"/> No - My agency does not have any permanent electronic records		0	0%
Total			1	
Other, please explain				

48. Were the permanent electronic records transferred during FY 2016 using the Electronic Records Archives (ERA)?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			0	

49. Does your agency have a method for estimating the volume in bytes of permanent electronic records currently being maintained by your agency?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		1	100%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, my agency does not have any permanent electronic records		0	0%
Total			1	

50. Does your agency track when its permanent records (regardless of format) are due to be transferred to NARA?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

51. What method(s) does your agency use to track its permanent records? (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Rely on Federal Records Center notifications		1	100%
2	<input checked="" type="checkbox"/> Maintain an inventory		1	100%
3	<input checked="" type="checkbox"/> Database or other automated tracking		1	100%
4	<input checked="" type="checkbox"/> Manual tracking		0	0%
5	<input checked="" type="checkbox"/> Other, please explain		0	0%

Other, please explain

52. Does your agency conduct, and document for accountability purposes, exit briefings for departing senior officials on the appropriate disposition of records, including email, under their immediate control? (36 CFR 1222.24 (a)(6) and 36 CFR 1230.10(a & b))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> Yes, but not documented		0	0%
3	<input checked="" type="checkbox"/> No		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
5	<input checked="" type="checkbox"/> Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

53. Is the Agency Records Officer and/or Senior Agency Official for Records Management involved in exit briefings or other exit clearance processes for departing senior officials?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

54. Does the exit or separation process for departing senior officials include records management program staff or other designated official(s) reviewing and approving the removal of personal papers and copies of records by those senior officials? (36 CFR 1222.24(a)(6))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No, please explain		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

No, please explain

55. Please add any additional comments about your agency for Section III: Records Disposition. (Optional)

Text Response

56. Has your agency incorporated and/or integrated internal controls to ensure the reliability, authenticity, integrity, and usability of agency electronic records maintained in electronic information systems? (36 CFR 1236.10)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

57. Does your agency have documented and approved procedures to enable the migration of records and associated metadata to new storage media or formats so that records are retrievable and usable as long as needed to conduct agency business and to meet NARA-approved dispositions? (36 CFR 1236.20(b)(6))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

58. Are records management staff involved in developing procedures to ensure that records are properly migrated from retired systems? (36 CFR 1235.20(b)(6))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

59. Does your agency maintain an inventory of electronic information systems that indicates whether or not each system is covered by an approved NARA disposition authority? (36 CFR 1236.26(a))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No, please explain	<div style="width: 0%;"></div>	0	0%
3	<input checked="" type="checkbox"/> Do not know	<div style="width: 0%;"></div>	0	0%
Total			1	

No, please explain

60. Does your agency ensure that records management functionality, including the capture, retrieval, and retention of records according to agency business needs and NARA-approved records schedules, is incorporated into the design, development, and implementation of its electronic information systems? (36 CFR 1236.12)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No, please explain	<div style="width: 0%;"></div>	0	0%
3	<input checked="" type="checkbox"/> Do not know	<div style="width: 0%;"></div>	0	0%
4	<input checked="" type="checkbox"/> Not applicable, please explain	<div style="width: 0%;"></div>	0	0%
Total			1	

No, please explain

Not applicable, please explain

61. Does your agency's records management program staff participate in the design, development, and implementation of new electronic information systems?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 0%;"></div>	0	0%
2	<input checked="" type="checkbox"/> To some extent	<div style="width: 100%;"></div>	1	100%
3	<input checked="" type="checkbox"/> No, please explain	<div style="width: 0%;"></div>	0	0%
4	<input checked="" type="checkbox"/> Do not know	<div style="width: 0%;"></div>	0	0%
5	<input checked="" type="checkbox"/> Not applicable, please explain	<div style="width: 0%;"></div>	0	0%
Total			1	

No, please explain

Not applicable, please explain

62. Which of these activities does your agency's records management program staff participate in to ensure that records requirements are part of the recommended solution? (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Participate in review and acceptance of proposals for new systems	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> Participate as stakeholder in requirements gathering	<div style="width: 0%;"></div>	0	0%
3	<input checked="" type="checkbox"/> Participate as stakeholder in design phase	<div style="width: 0%;"></div>	0	0%
4	<input checked="" type="checkbox"/> Participate as stakeholder in development phase including testing the system	<div style="width: 0%;"></div>	0	0%
5	<input checked="" type="checkbox"/> Provide sign off authority for the implementation of new systems	<div style="width: 0%;"></div>	0	0%
6	<input checked="" type="checkbox"/> Monitor system for adherence to standards, policies, and procedures	<div style="width: 100%;"></div>	1	100%
7	<input checked="" type="checkbox"/> Provide information only	<div style="width: 0%;"></div>	0	0%
8	<input checked="" type="checkbox"/> Do not know	<div style="width: 0%;"></div>	0	0%
9	<input checked="" type="checkbox"/> Other, please explain	<div style="width: 0%;"></div>	0	0%

Other, please explain

63. Does your agency have documented and approved policies and procedures in place to handle email records that have a retention period longer than 180 days? (36 CFR 1236.22)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No, please explain		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

No, please explain

64. Does your agency have documented and approved policies and procedures to implement the guidelines for the transfer of permanent email records to NARA described in NARA 2014-04: Appendix A, Revised Format Guidance for the Transfer of Permanent Electronic Records – Tables of File Formats Section 9 - Email? (36 CFR 1236.22(e))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

65. Do employees in your agency have more than one agency-administered email account? (NARA Bulletin 2013-03) *
 Examples of business need for more than one agency-administered email account may include but are not limited to: Using separate accounts for public and internal correspondence Creating accounts for a specific agency initiative which may have multiple users Using separate accounts for classified information and unclassified information

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

66. Does your agency have documented and approved policies that address these types of accounts and that state that email records must be preserved in an appropriate agency recordkeeping system? (36 CFR 1236.22)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

67. Does your agency allow the use of personal email accounts to conduct official business? (36 CFR 1236.22(b))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		1	100%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

68. Does your agency have documented and approved policies that address the use of personal email accounts, whether or not allowed, that state that a complete copy of all emails officers or employees create or receive in such accounts must be preserved in an appropriate agency recordkeeping system and must be forwarded to an official electronic messaging account of the officer or employee no later than 20 days after the original creation or transmission of the record? (36 CFR 1236.22(b) and P.L. 113-187)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

69. Does your agency's email system(s) retain the intelligent full names on directories or distribution lists to ensure identification of the sender and addressee(s) for those email messages that are Federal records? (36 CFR 1236.22(a)(3))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

70. What method(s) does your agency employ to capture and manage email records? (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Captured and stored in an email archiving system		1	100%
2	<input checked="" type="checkbox"/> Captured and stored in an electronic records management system		0	0%
3	<input checked="" type="checkbox"/> Captured and stored as .PST		0	0%
4	<input checked="" type="checkbox"/> Print and file		0	0%
5	<input checked="" type="checkbox"/> Not captured and email is managed by the end-user in the native system		0	0%
6	<input checked="" type="checkbox"/> Other, please be specific		1	100%

Other, please be specific

End users are required by policy to remove Federal record material in email format out of the email system and into their Office of Record's shared electronic filing. As part of BPA's Unstructured Data Management (UDM) project being implemented in FY17, all email will be captured and managed in the agency Electronic Record-Keeping System(ERKS), Discovery Core.

71. Does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies? (36 CFR 1220.18)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

72. Who evaluates, monitors, or audits staff compliance with the agency's email preservation policies? (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Inspector General		0	0%
2	<input checked="" type="checkbox"/> Chief Information Officer		0	0%
3	<input checked="" type="checkbox"/> Agency Records Officer		1	100%
4	<input checked="" type="checkbox"/> Other, please explain		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%

Other, please explain

73. How often does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Every 6 months		0	0%
2	<input checked="" type="checkbox"/> Every year		1	100%
3	<input checked="" type="checkbox"/> Every 2 years		0	0%
4	<input checked="" type="checkbox"/> Less frequently than every 2 years		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
6	<input checked="" type="checkbox"/> Not applicable, agency does not audit staff compliance		0	0%
Total			1	

74. Has your agency implemented a plan to use the "Capstone" approach for managing email records as specified in NARA Bulletin 2013-02, Guidance on a New Approach to Managing Email Records?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No, please explain		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

No, please explain

75. Have you submitted a retention schedule for identifying "Capstone" accounts for approval by NARA?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No, please explain		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, already submitted NA-1005 to use GRS 6.1: Email Managed Under a Capstone Approach		0	0%
5	<input checked="" type="checkbox"/> Not applicable, planning to use GRS 6.1 but have not yet submitted NA-1005		1	100%
Total			1	

No, please explain

76. Is your agency able to readily access usable email from departed employees?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

77. Is your agency able to prevent unauthorized access, modification, or destruction of emails?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

78. Can your agency transfer permanent email records to the National Archives of the United States in accordance with agency records schedules or General Records Schedules and NARA regulations and guidance?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

79. Is your agency able to decrypt permanent email records before they are accessioned by NARA?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

80. Does your agency have documented and approved policies and procedures in place to manage electronic messages including text messages, chat/instant messages, voice messages, and messages created in social media tools or applications?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Other, please explain		0	0%
Total			1	

Other, please explain

81. Does your agency have an approved records schedule covering electronic messages including text messages, chat/instant messages, voice messages, and messages created in social media tools or applications that meet the definition of a Federal record?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

82. Which of the following best describes the steps your agency has taken to comply with metadata bulletin NARA 2015-04 Metadata Guidance for the Transfer of Permanent Electronic Records to maintain metadata for permanent electronic records?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> We have implemented measures to comply with NARA Bulletin 2015-04		1	100%
2	<input checked="" type="checkbox"/> We have reviewed NARA Bulletin 2015-04 and are planning to implement measures to comply with NARA Bulletin 2015-04		0	0%
3	<input checked="" type="checkbox"/> We have reviewed NARA 2015-04 but have not taken steps to implement it		0	0%
4	<input checked="" type="checkbox"/> We have not reviewed NARA 2015-04		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
6	<input checked="" type="checkbox"/> None of the above, please explain		0	0%
Total			1	

None of the above, please explain

83. Which of the following best describes the level at which your organization is responsible for defining records management metadata schema* for use across systems that maintain permanent electronic records? *A schema is a logical plan showing the relationships between metadata elements, normally through establishing rules for the use and management of metadata specifically as regards the semantics, the syntax, and the optionality (obligation level) of values (ISO 23081.1 s3 Terms and Definitions)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> My agency has adopted an external standard (e.g., International Organization for Standardization (ISO), industry, or military standard)		0	0%
2	<input checked="" type="checkbox"/> Defining records management metadata schema is done at the department level and used enterprise wide (i.e. all entities within the department use the same one)		0	0%
3	<input checked="" type="checkbox"/> Defining records management metadata schema is done at the individual component agency/bureau/office level (i.e. each uses its own unique one)		0	0%
4	<input checked="" type="checkbox"/> As an independent agency, records management metadata schema is defined and mandated for use across the agency by the Office of the Chief Information Officer		0	0%
5	<input checked="" type="checkbox"/> My agency/component/bureau/office does not have or use a metadata schema		0	0%
6	<input checked="" type="checkbox"/> Do not know		0	0%
7	<input checked="" type="checkbox"/> None of the above, please explain		1	100%
Total			1	

None of the above, please explain

As part of BPA's Unstructured Data Management (UDM) project being implemented in FY17, a metadata schema has been developed for use in the agency Electronic Record-Keeping System), Discovery Core. All Federal records ingested into Discovery Core will have metadata applied (whether temporary or permanent records) according to the UDM metadata schema.

84. Which of the following best describes your agency's use of controlled vocabularies, thesauri, or term lists that ensure consistent data entry of metadata?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> My agency/component developed its own based on internal practices		1	100%
2	<input checked="" type="checkbox"/> My agency/component has adopted an external standard (e.g., ISO, industry, military standard)		0	0%
3	<input checked="" type="checkbox"/> Controlled vocabularies, thesauri, or term lists are defined by the department and mandated for use by all agencies/bureaus/offices		0	0%
4	<input checked="" type="checkbox"/> As an independent agency, controlled vocabularies, thesauri, or term lists are defined and mandated for use across the agency by the Office of the Chief Information Officer		0	0%
5	<input checked="" type="checkbox"/> My agency/component does not use controlled vocabularies, thesauri, or term lists		0	0%
6	<input checked="" type="checkbox"/> Do not know		0	0%
7	<input checked="" type="checkbox"/> None of the above, please explain		0	0%
Total			1	

None of the above, please explain

85. Please add any additional comments about your agency for Section IV: Electronic Records. (Optional)

Text Response

As noted above, BPA's Unstructured Data Management (UDM) project is implementing agency Electronic Record-Keeping System), Discovery Core. Discovery Core consists of several modules including a Consolidate Archive, a Records Manager, Universal Search, and E-Discovery/Legal Hold which all operate together to ensure compliance with records obligations under OMB M-12-18, reduce e-discovery risk in litigation, and facilitate response to FOIA requests. The system has been developed over the last two years and is being rolled out across BPA in the latter half of FY17.

86. Does your agency have an SAO for Records Management? (If you are a component of a department, you may answer "Yes," even if this is not being done at the component level.)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

87. Does your Agency Records Officer meet regularly (four or more times a year) with the SAO for Records Management to discuss the agency records management program goals?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		1	100%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

88. Did your agency meet the deadline to submit records schedules for all unscheduled paper and other non-electronic records by December 31, 2016?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes - All retention schedules have been submitted and approved by NARA	████████████████████	1	100%
2	<input checked="" type="checkbox"/> Yes - Retention schedules have been submitted and are pending NARA approval		0	0%
3	<input checked="" type="checkbox"/> No - Retention schedules are in draft form and have not yet been submitted to NARA		0	0%
4	<input checked="" type="checkbox"/> No		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
6	<input checked="" type="checkbox"/> Other, please explain		0	0%
Total			1	

Other, please explain

89. Does your agency have a method of continually identifying new and unscheduled records?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	████████████████████	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

90. Which method(s) does your agency use? (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Regular surveys		0	0%
2	<input checked="" type="checkbox"/> Regular inventories	████████████████████	1	100%
3	<input checked="" type="checkbox"/> Records management evaluations, site assessments, or audits of program offices	████████████████████	1	100%
4	<input checked="" type="checkbox"/> Work with program managers to identify new programs and related records		0	0%
5	<input checked="" type="checkbox"/> Work with Privacy Officer and review SORNs (Systems of Records Notices)	████████████████████	1	100%
6	<input checked="" type="checkbox"/> Work with FOIA Officer	████████████████████	1	100%
7	<input checked="" type="checkbox"/> Records Liaison Officers notify Agency Records Officer of new record series		0	0%
8	<input checked="" type="checkbox"/> Require use and annual update of file plans	████████████████████	1	100%
9	<input checked="" type="checkbox"/> Participate in design and retirement of information systems and note changes in records		0	0%
10	<input checked="" type="checkbox"/> Outreach and awareness		0	0%
11	<input checked="" type="checkbox"/> Other, please explain		0	0%

Other, please explain

91. Has your agency identified any additional unscheduled records that have not already been reported to NARA?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No	████████████████████	1	100%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

92. Does your agency use cloud services?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No	<div style="width: 0%;"></div>	0	0%
3	<input checked="" type="checkbox"/> Do not know	<div style="width: 0%;"></div>	0	0%
Total			1	

93. For what purpose(s) is your agency using cloud services? (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Email	<div style="width: 0%;"></div>	0	0%
2	<input checked="" type="checkbox"/> Administrative functions such as payroll, purchasing, and financial management	<div style="width: 0%;"></div>	0	0%
3	<input checked="" type="checkbox"/> Mission/program-related functions	<div style="width: 100%;"></div>	1	100%
4	<input checked="" type="checkbox"/> Other, please explain	<div style="width: 0%;"></div>	0	0%
5	<input checked="" type="checkbox"/> Do not know	<div style="width: 0%;"></div>	0	0%
Other, please explain				

94. Are recordkeeping requirements included?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No	<div style="width: 0%;"></div>	0	0%
3	<input checked="" type="checkbox"/> Do not know	<div style="width: 0%;"></div>	0	0%
Total			1	

95. Will your agency use the new Records and Information Management Series, 0308, (job series) released by the Office of Personnel Management in 2015?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No	<div style="width: 0%;"></div>	0	0%
3	<input checked="" type="checkbox"/> Do not know	<div style="width: 0%;"></div>	0	0%
4	<input checked="" type="checkbox"/> Not applicable, my agency does not use the General Schedule (GS) job classifications	<div style="width: 0%;"></div>	0	0%
Total			1	

96. Why will your agency NOT be using the new job series?

Text Response

97. Does your agency use your RMSA scores to measure the effectiveness of the records management program?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Comments (Optional): Please include in your comments how you use the RMSA		0	0%

Comments (Optional): Please include in your comments how you use the RMSA

98. How many full-time equivalents (FTE) are in your agency/organization? (Choose one)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> 500,000 or more FTEs		0	0%
2	<input checked="" type="checkbox"/> 100,000 – 499,999 FTEs		0	0%
3	<input checked="" type="checkbox"/> 10,000 – 99,999 FTEs		0	0%
4	<input checked="" type="checkbox"/> 1,000 – 9,999 FTEs		1	100%
5	<input checked="" type="checkbox"/> 100 – 999 FTEs		0	0%
6	<input checked="" type="checkbox"/> 1 – 99 FTEs		0	0%
7	<input checked="" type="checkbox"/> Not Available		0	0%
Total			1	

99. What other staff, offices, or program areas did you consult when you completed this self-assessment? (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Senior Agency Official		1	100%
2	<input checked="" type="checkbox"/> Office of the General Counsel		1	100%
3	<input checked="" type="checkbox"/> Program Managers		1	100%
4	<input checked="" type="checkbox"/> FOIA Officer		1	100%
5	<input checked="" type="checkbox"/> Information Technology staff		1	100%
6	<input checked="" type="checkbox"/> Records Liaison Officers or similar		0	0%
7	<input checked="" type="checkbox"/> Administrative staff		0	0%
8	<input checked="" type="checkbox"/> Other, please be specific:		1	100%
9	<input checked="" type="checkbox"/> None		0	0%

Other, please be specific:

The RMSA was reported to the Information Governance Oversight Team, consisting of program managers, and also the Agency Compliance & Governance Committee consisting of Senior Executives, and is approved by the SAO.

100. How much time did it take you to gather the information to complete this self-assessment?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Under 3 hours		0	0%
2	<input checked="" type="checkbox"/> More than 3 hours but less than 6 hours		1	100%
3	<input checked="" type="checkbox"/> More than 6 hours but less than 10 hours		0	0%
4	<input checked="" type="checkbox"/> Over 10 hours		0	0%
Total			1	

101. Did your agency's senior management review and concur with your responses to the 2016 Records Management Self-Assessment?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

102. Please provide your contact information.

Name:	Agency, Bureau, or Office:	Job Title:	Email Address:	Phone Number:
Christopher M. Frost	Bonneville Power Administration	Information Governance Supervisor; Agency Records Officer, FOIA/Privacy Officer	cmfrost@bpa.gov	503-230-5602

103. Are you the Agency Records Officer?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
Total			1	

104. Please provide the Agency Records Officer's contact information.

Name:	Email Address:	Phone Number:

105. Do you have any suggestions for improving the Records Management Self-Assessment next year?

Text Response

There are certain additional questions that would benefit from a narrative commentary box or an "other, please explain (with commentary box) As an example, Q87 - Agency records Officer meeting four or more times a year - would benefit from allowing for commentary. At BPA, the SAO is the Administrator. The organizational governance structure of the agency has assigned a Compliance and Governance responsibilities to a Committee of Senior Executives including the Deputy Administrator, Executive VP for Compliance Audit and Risk, and General Counsel. The IGLM program reports regularly to this committee in lieu of meeting with the Administrator.

106. Q_URL

Value	Total
/SE/?Q_DL=2tVYJrSs91U7g3z_5zLKumryiJzW8R_MLRP_3JHefafTpsywwUI&Q_CHL=email	1

107. SSID

Value	Total

108. Score

Statistic	Value
Mean Score	94.00
Score Standard Deviation	0.00
Weighted Mean of Items	0.89
Weighted Standard Deviation of Items	1.34
Items	106.00

1. Is there a person in your agency who is responsible for coordinating and overseeing the implementation of the records management program? (36 CFR 1220.34(a))

#	Answer	Bar	Response	%
1	Yes	<div style="width: 100%;"></div>	1	100%
2	No	<div style="width: 0%;"></div>	0	0%
3	Do not know	<div style="width: 0%;"></div>	0	0%
Total			1	

2. Please provide the person's name, position title, and office.

Text Response

Christopher M. Frost Information Governance Supervisor Agency Records Officer, FOIA/Privacy Officer CGI – Information Governance

3. Does your agency have a records management directive(s)? (36 CFR 1220.34(c))

#	Answer	Bar	Response	%
1	Yes	<div style="width: 100%;"></div>	1	100%
2	No	<div style="width: 0%;"></div>	0	0%
3	Do not know	<div style="width: 0%;"></div>	0	0%
Total			1	

4. When was your agency's directive(s) last reviewed and/or revised to ensure it includes all new records management policy issuances and guidance?

#	Answer	Bar	Response	%
1	FY 2015 - present	<div style="width: 100%;"></div>	1	100%
2	FY 2013 - 2014	<div style="width: 0%;"></div>	0	0%
3	FY 2011 - 2012	<div style="width: 0%;"></div>	0	0%
4	FY 2010 or earlier	<div style="width: 0%;"></div>	0	0%
5	Do not know	<div style="width: 0%;"></div>	0	0%
7	Not applicable, agency does not have a records management directive	<div style="width: 0%;"></div>	0	0%
Total			1	

5. Has your agency updated its records management directives and/or policies to reflect changes to the Federal Records Act (Public Law 113-187)?

#	Answer	Bar	Response	%
1	Yes	<div style="width: 100%;"></div>	1	100%
2	No	<div style="width: 0%;"></div>	0	0%
3	No, unaware of these changes	<div style="width: 0%;"></div>	0	0%
4	Under development	<div style="width: 0%;"></div>	0	0%
5	Do not know	<div style="width: 0%;"></div>	0	0%
6	Other, please explain	<div style="width: 0%;"></div>	0	0%
Total			1	

Other, please explain

6. Has your agency's records management program established strategic goals and objectives?

#	Answer	Bar	Response	%
7	Yes	<div style="width: 100%;"></div>	1	100%
8	No	<div style="width: 0%;"></div>	0	0%
9	To some extent	<div style="width: 0%;"></div>	0	0%
10	Do not know	<div style="width: 0%;"></div>	0	0%
Total			1	

7. Does the leadership and management of your agency recognize records and information management as a priority?

#	Answer	Bar	Response	%
1	Yes	<div style="width: 100%;"></div>	1	100%
2	No	<div style="width: 0%;"></div>	0	0%
3	To some extent	<div style="width: 0%;"></div>	0	0%
4	Do not know	<div style="width: 0%;"></div>	0	0%
Total			1	

8. Does your agency have a network of designated employees within each program and administrative area who are assigned records management responsibilities? These individuals are often called Records Liaison Officers (RLOs) though their titles may vary. (36 CFR 1220.34(d))

#	Answer	Bar	Response	%
1	Yes	<div style="width: 0%;"></div>	0	0%
2	No	<div style="width: 100%;"></div>	1	100%
3	Do not know	<div style="width: 0%;"></div>	0	0%
4	Not applicable, please explain	<div style="width: 0%;"></div>	0	0%
Total			1	

Not applicable, please explain

9. Does your agency have internal records management training*, based on agency policies and directives, for employees assigned records management responsibilities? (36 CFR 1220.34(f)) *Includes NARA's records management training workshops that were customized specifically for your agency or use of the Federal Records Officer Network (FRON) RM 101 course.

#	Answer	Bar	Response	%
1	Yes	<div style="width: 100%;"></div>	1	100%
2	No	<div style="width: 0%;"></div>	0	0%
3	Do not know	<div style="width: 0%;"></div>	0	0%
4	Not applicable, please explain	<div style="width: 0%;"></div>	0	0%
Total			1	

Not applicable, please explain

10. Has your agency developed internal, staff-wide, formal training*, based on agency policies and directives, which helps agency employees and contractors fulfill their recordkeeping responsibilities? (36 CFR 1220.34(f)) *Includes NARA's records management training workshops that were customized specifically for your agency or use of the Federal Records Officer Network (FRON) RM 101 course.

#	Answer	Bar	Response	%
1	Yes	<div style="width: 100%;"></div>	1	100%
2	No	<div style="width: 0%;"></div>	0	0%
3	Do not know	<div style="width: 0%;"></div>	0	0%
4	Not applicable, please explain	<div style="width: 0%;"></div>	0	0%
Total			1	

Not applicable, please explain

11. Has your agency developed internal, staff-wide, formal training*, based on agency policies and directives, on the retention and management of records created and maintained in electronic formats? (36 CFR 1220.34(f)) *Includes NARA's records management training workshops that were customized specifically for your agency.

#	Answer	Bar	Response	%
1	Yes	<div style="width: 100%;"></div>	1	100%
2	No	<div style="width: 0%;"></div>	0	0%
3	Do not know	<div style="width: 0%;"></div>	0	0%
4	Not applicable, please explain	<div style="width: 0%;"></div>	0	0%
Total			1	

Not applicable, please explain

12. Has your agency developed internal, staff-wide, formal training*, based on agency policies and directives, on the retention and management of records created through electronic communications including email, text messages, chat, or other messaging platforms or apps, such as social media or mobile device applications? (36 CFR 1220.34(f)) *Includes NARA's records management training workshops that were customized specifically for your agency.

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
5	Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

13. Does your agency require that all senior and appointed officials, including those incoming and newly promoted, receive training on the importance of appropriately managing records under their immediate control? (36 CFR 1220.34(f))

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

14. Is the records management training described in questions 9 through 13 mandatory?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	To Some Extent		0	0%
3	No		0	0%
4	Do not know		0	0%
5	Not applicable, agency has not developed internal records management training		0	0%
Total			1	

15. Which staff members are required to complete the records management training described in questions 9 through 13? (Choose all that apply)

#	Answer	Bar	Response	%
2	Agency employees		1	100%
3	Contractors		1	100%
4	Senior officials		1	100%
5	Employees assigned records management responsibilities		1	100%
6	Do not know		0	0%

16. Is records management training included in the new hire in-processing for new employees in your agency?


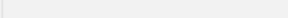

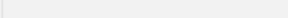
#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, agency has not developed internal records management training		0	0%
Total			1	

17. Please add any additional comments about your agency for Section I: Program Activities. (Optional)

Text Response

In addition to annual mandatory web-based training, the Information Governance organization offers targeted live trainings available for topics such as: information asset planning, filing to retrieve and other topics as well as FAQs and step-by-step reference material.

18. In addition to your agency's established records management policies and records schedules, has your agency's records management program developed and implemented internal controls to ensure that all eligible, permanent agency records in all media are transferred to NARA according to approved records schedules? (36 CFR 1222.26(e)) ** These controls must be internal to your agency. Reliance on information from external agencies (for example, NARA's Federal Records Centers) or other organizations should not be considered when responding to this question.

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
Total			1	


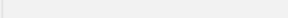

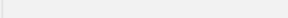
Not applicable, please explain

19. Please select the control activities your agency performs to ensure that all eligible permanent records in all media are transferred to NARA. (Choose all that apply)

#	Answer	Bar	Response	%
1	Regular briefings and other meetings with records creators		1	100%
2	Approval process for transfer notices from Federal Records Centers		1	100%
3	Monitoring and testing of file plans		1	100%
4	Regular review of records inventories		1	100%
5	Internal tracking database of permanent record authorities and dates		1	100%
6	Other, please explain		0	0%




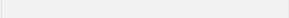

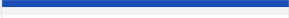

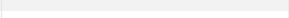
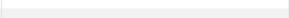
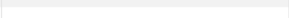

Other, please explain

20. In addition to your agency's established policies and records schedules, has your agency developed and implemented internal controls to ensure that Federal records are not destroyed before the end of their retention period? (36 CFR 1222.26(e)) ** These controls must be internal to your agency. Reliance on information from external agencies (for example, NARA's Federal Records Centers) or other organizations should not be considered when responding to this question.

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

21. Please select the control activities your agency performs to ensure that Federal records are not destroyed before the end of their retention period. (Choose all that apply)

#	Answer	Bar	Response	%
1	Regular review of records inventories		1	100%
2	Approval process for disposal notices from off-site storage		1	100%
3	Require certificates of destruction		1	100%
4	Monitoring shredding services		0	0%
5	Performance testing for email		1	100%
6	Monitoring and testing of file plans		1	100%
7	Pre-authorization from records management program before records are destroyed		1	100%
8	Ad hoc monitoring of trash and recycle bins		0	0%
9	Notification from facilities staff when large trash bins or removal of boxes are requested		0	0%
10	Annual records clean out activities sponsored and monitored by records management staff		0	0%
11	Other, please explain		0	0%

Other, please explain

22. Does your records management staff have oversight over records created at the highest levels of your agency (i.e. those of Agency Heads and appropriate advisors, and executive support staff) in order to ensure they are created, maintained, captured, preserved, and, when applicable, properly transferred to NARA? (36 CFR 1220)

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Other, please explain		0	0%
Total			1	

Other, please explain

23. Does your agency evaluate, by conducting inspections/audits/reviews, its records management program to ensure that it is efficient, effective, and compliant with all applicable records management laws and regulations? ** For this question, your agency's records management program, or a major component of the program (e.g., vital records identification and management, the records disposition process, records management training, or the management of your agency's electronic records) must be the primary focus of the inspection/audit/review.

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

24. How often is your records management program, or a major component of your program, evaluated for compliance with agency records management policies and procedures?

#	Answer	Bar	Response	%
1	Every 1 - 2 years		1	100%
2	Every 3 - 4 years		0	0%
3	Every 5 years		0	0%
4	More than every 5 years		0	0%
5	Do not know		0	0%
7	Not applicable, agency does not evaluate its records management program		0	0%
Total			1	

25. Was a written report prepared as part of the most recent inspection/audit/review?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		1	100%
3	Do not know		0	0%
5	Not applicable, agency does not evaluate its records management program		0	0%
Total			1	

26. Do your agency's evaluation procedures include creating plans of corrective action that are monitored for implementation?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		1	100%
3	Do not know		0	0%
4	Not applicable, agency does not evaluate its records management program		0	0%
Total			1	

27. Has your agency established performance goals for its records management program?

#	Answer	Bar	Response	%
1	Yes	<div style="width: 100%;"></div>	1	100%
2	No		0	0%
3	Currently under development		0	0%
4	Do not know		0	0%
5	Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

28. Please describe your agency's records management program's performance goals.

Text Response

UNSTRUCTURED DATA MANAGEMENT (UDM). BPA is engaged in a UDM initiative to develop policies for managing Federal records in electronic format and design and implement a scalable technical solution with information asset lifecycle capabilities that:

- Ensures authenticity of Federal records
- Incorporates an enterprise-wide taxonomy and retention capability
- Provides for legal hold and e-discovery capabilities

In FY16, BPA will develop UDM policies and begin an agency-wide roll-out including change management and training. Performance Goals:

- UDM Solution Design Document Complete
- UDM Solution Software Installed
- Phased rollout prioritization and training plans complete
- Training for key users (GLM team and SMEs) initiated, i.e. vendor knowledge transfer activities
- Update UDM and email policy and submit for approval
- Draft policy for SharePoint and network shared drives and submit for approval.

INFORMATION ASSET PLANNING (IAP). Information Asset Planning identifies the records and information created, received or accessed by each organization within BPA, based on the business processes for which the organization is responsible. The Information Asset Profile that results from this process includes file code, retention, existence of PII, status as a vital record, and storage location/medium for all information assets. This measure is linked to change management as part of BPA's UDM initiative. Performance Goals:

- 95% of Offices of Record have completed either a draft or an approved IAP by end of FY15
- 90% of draft IAPs validated and approved by end of FY15.

Outcome: BPA did not meet this performance measure – less than 95% of Offices of Records submitted complete drafts of their Information Asset Plans by EOY. BPA has continued to validate IAPs as part of the UDM project and anticipates attaining this goal in FY16.

TRAINING. Revise training modules (both formal classroom and web-based) to update 'case studies' as part of the final knowledge test. Performance Goals:

- Increase the number of employees and contractors who complete the training by 5%.
- Maintain a training feedback response rate of 90% or better in the following categories:
- Course provided good value
- Web-based training presentation was effective
- Course provided a greater understanding of expectation in managing BPA's information assets. This measure is linked to change management and training as part of BPA's UDM initiative. Outcome: BPA's completion rate exceeded 90%

29. Please describe the progress your agency has made towards identifying performance goals for its records management program. Include the time frame for completion in your remarks.

Text Response

30. Has your agency's records management program identified performance measures for records management activities such as training, records scheduling, permanent records transfers, etc.?

#	Answer	Bar	Response	%
1	Yes	<div style="width: 100%;"></div>	1	100%
2	No		0	0%
3	Currently under development		0	0%
4	Do not know		0	0%
5	Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

31. Which of these input measures do you collect to monitor your records management program's performance? (Choose all that apply)

#	Answer	Bar	Response	%
1	Percentage of records scheduled		0	0%
2	Percentage of staff trained in records management	<div style="width: 100%;"></div>	1	100%
3	Percentage of offices evaluated/inspected for records management compliance	<div style="width: 100%;"></div>	1	100%
4	Percentage of email management auto-classification rates		0	0%
5	Development of new records management training modules	<div style="width: 100%;"></div>	1	100%
6	Audits of internal systems		0	0%
7	Annual updates of file plans	<div style="width: 100%;"></div>	1	100%
8	Performance testing for email applications to ensure records are captured	<div style="width: 100%;"></div>	1	100%
9	Do not know		0	0%
10	Other, please explain		0	0%

Other, please explain

32. Please describe the progress your agency has made towards identifying performance measures for its records management program. Include the time frame for completion in your remarks.

Text Response

33. Does your agency's records management program have documented and approved policies and procedures that instruct staff on how your agency's permanent records in all formats must be managed and stored? (36 CFR 1222.34(e))

#	Answer	Bar	Response	%
1	Yes	<div style="width: 100%; background-color: blue;"></div>	1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

34. Has your agency identified the vital records of all its program and administrative areas? (36 CFR 1223.16)

#	Answer	Bar	Response	%
1	Yes	<div style="width: 100%; background-color: blue;"></div>	1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

35. How often does your agency review and update its vital records inventory? (36 CFR 1223.14)

#	Answer	Bar	Response	%
1	Annually		0	0%
2	Every 2 - 3 years		0	0%
3	Every 4 - 6 years	<div style="width: 100%; background-color: blue;"></div>	1	100%
4	Never		0	0%
5	Do not know		0	0%
Total			1	

36. Is your vital records plan part of the Continuity of Operations (COOP) plan?

#	Answer	Bar	Response	%
1	Yes	<div style="width: 100%; background-color: blue;"></div>	1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

37. Please add any additional comments about your agency for Section II: Oversight and Compliance. (Optional)

Text Response

38. When was the last time your agency submitted a records schedule to the National Archives?

#	Answer	Bar	Response	%
1	FY 2013 – 2015		0	0%
2	FY 2010 – 2012		0	0%
3	FY 2007 – 2009	<div style="width: 100%; background-color: blue;"></div>	1	100%
4	FY 2006 or earlier		0	0%
7	Do not know, please explain		0	0%
Total			1	

Do not know, please explain

39. Has your agency ever submitted a records schedule for approval using the Electronic Records Archives (ERA)?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		1	100%
3	Do not know		0	0%
Total			1	

40. Does your agency disseminate every approved disposition authority (including newly approved records schedules and General Records Schedule items) to agency staff within six months of approval? (36 CFR 1226.12(a))

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

41. Did your agency transfer permanent non-electronic records to NARA during FY 2015? (36 CFR 1235.12)

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		0	0%
4	No - No records were eligible for transfer during 2015		1	100%
5	No - New agency, records are not yet old enough to transfer		0	0%
7	Do not know		0	0%
8	Other, please explain		0	0%
9	No - My agency does not have any permanent non-electronic records		0	0%
Total			1	

Other, please explain

42. Did your agency transfer permanent electronic records to NARA during FY 2015? (36 CFR 1235.12)


#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		0	0%
4	No - No electronic records/systems were eligible for transfer during FY 2015		1	100%
5	No - New agency, electronic records/systems are not old enough to transfer		0	0%
7	Do not know		0	0%
8	Other, please explain		0	0%
9	No - My agency does not have any permanent electronic records		0	0%
Total			1	

Other, please explain

43. Were the permanent electronic records transferred during FY 2015 using the Electronic Records Archives (ERA)?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		0	0%
3	Do not know		0	0%
Total			0	

44. Does your agency have a method for estimating the volume in bytes of permanent electronic records currently being maintained by your agency?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		1	100%
3	Do not know		0	0%
4	Not applicable, my agency does not have any permanent electronic records		0	0%
Total			1	


45. When will these permanent electronic records be eligible for transfer to NARA? (Choose all that apply)

#	Answer	Bar	Response	%
1	FY 2016		0	0%
2	FY 2017		0	0%
3	FY 2018		0	0%
4	FY 2019		0	0%
5	FY 2020		0	0%
6	After FY 2020		0	0%
7	Do not know, please explain		1	100%
8	Not applicable, my agency does not have any permanent electronic records		0	0%

Do not know, please explain




Because BPA does not have a current means of estimating permanent electronic record volume, we cannot determine eligibility. BPA is implementing an unstructured data management tool by FY17 that will both estimate volume and identify eligible dates for permanent electronic records.

46. Does your agency track when its permanent records (regardless of format) are due to be transferred to NARA?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

47. What methods does your agency use to track its permanent records? (Choose all that apply)

#	Answer	Bar	Response	%
1	Rely on Federal Records Center notifications		1	100%
2	Maintain an inventory		1	100%
3	Database or other automated tracking		1	100%
4	Manual tracking		0	0%
5	Other, please explain		0	0%

Other, please explain

48. Does your agency store inactive temporary and/or permanent records in a commercial records storage facility?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		1	100%
3	Do not know		0	0%
Total			1	

49. Does the facility comply with the standards prescribed by 36 CFR 1234?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		0	0%
3	Do not know		0	0%
Total			0	

50. Does your agency store inactive temporary and/or permanent records in an agency records center? (Note: This does NOT include agency staging areas and temporary holding areas.)

#	Answer	Bar	Response	%
1	Yes	<div style="width: 100%; height: 10px; background-color: blue;"></div>	1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

51. Does the records center comply with the standards prescribed by 36 CFR 1234?

#	Answer	Bar	Response	%
1	Yes	<div style="width: 100%; height: 10px; background-color: blue;"></div>	1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

52. Does your agency store inactive temporary and/or permanent records in an agency records staging or holding area?

#	Answer	Bar	Response	%
4	Yes	<div style="width: 100%; height: 10px; background-color: blue;"></div>	1	100%
5	No		0	0%
6	Do not know		0	0%
Total			1	

53. Does the staging or holding area(s) comply with the standards prescribed by 36 CFR 1234*? *It is not required but encouraged that staging or holding areas comply with 36 CFR 1234.

#	Answer	Bar	Response	%
4	Yes		0	0%
5	No	<div style="width: 100%; height: 10px; background-color: blue;"></div>	1	100%
6	Do not know		0	0%
Total			1	

54. Does your agency provide exit briefings for senior officials on the appropriate disposition of the records, including email, under their immediate control? (36 CFR 1230.10(a & b))

#	Answer	Bar	Response	%
1	Yes	<div style="width: 100%; height: 10px; background-color: blue;"></div>	1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

55. Who is involved in the exit briefings? (Choose all that apply)

#	Answer	Bar	Response	%
1	Agency Records Officer		1	100%
2	Senior Agency Official for Records Management		0	0%
3	Chief Information Officer		0	0%
4	Other, please explain		0	0%

Other, please explain

56. Are the exit briefings documented for purposes of accountability?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, agency does not provide exit briefings for senior officials		0	0%
Total			1	

57. Upon separation, are senior officials required to obtain approval from records management program staff or other designated official(s) before removing personal papers and copies of records?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No, please explain		0	0%
3	Do not know		0	0%
Total			1	

No, please explain

58. Please add any additional comments about your agency for Section III: Records Disposition. (Optional)

Text Response

59. Has your agency incorporated and/or integrated internal controls to ensure the reliability, authenticity, integrity, and usability of agency electronic records maintained in electronic information systems? (36 CFR 1236.10)

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

60. Does your agency have documented and approved procedures to enable the migration of records and associated metadata to new storage media or formats so that records are retrievable and usable as long as needed to conduct agency business and to meet NARA-approved dispositions? (36 CFR 1236.20(b)(6))

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

61. Are records management staff involved in developing procedures to ensure that records are properly migrated from retired systems?

#	Answer	Bar	Response	%
1	Yes	<div style="width: 100%;"></div>	1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

62. Does your agency maintain an inventory of electronic information systems that indicates whether or not each system is covered by an approved NARA disposition authority? (36 CFR 1236.26(a))

#	Answer	Bar	Response	%
1	Yes	<div style="width: 100%;"></div>	1	100%
2	No, please explain		0	0%
3	Do not know		0	0%
Total			1	

No, please explain

63. Does your agency ensure that records management functionality, including the capture, retrieval, and retention of records according to agency business needs and NARA-approved records schedules, is incorporated into the design, development, and implementation of its electronic information systems? (36 CFR 1236.12)

#	Answer	Bar	Response	%
1	Yes	<div style="width: 100%;"></div>	1	100%
2	No, please explain		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
Total			1	

No, please explain

Not applicable, please explain

64. Does your agency's records management program staff participate in the design, development, and implementation of new electronic information systems?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	To Some Extent	<div style="width: 100%;"></div>	1	100%
3	No, please explain		0	0%
4	Do not know		0	0%
6	Not applicable, please explain		0	0%
Total			1	

No, please explain

Not applicable, please explain

65. Which of these activities does your agency's records management program staff participate in to ensure that records requirements are part of the recommended solution? (Choose all that apply)

#	Answer	Bar	Response	%
1	Participate in review and acceptance of proposals for new systems		0	0%
2	Participate as stakeholder in requirements gathering		0	0%
3	Participate as stakeholder in design phase		0	0%
4	Participate as stakeholder in development phase including testing the system		0	0%
5	Provide sign off authority for the implementation of new systems		0	0%
6	Monitor system for adherence to standards, policies, and procedures		1	100%
7	Provide information only		0	0%
8	Do not know		0	0%
10	Other, please explain		0	0%

Other, please explain

66. Does your agency have documented and approved policies and procedures in place to handle email records that have a retention period longer than 180 days? (36 CFR 1236.22)

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No, please explain		0	0%
3	Do not know		0	0%
Total			1	

No, please explain

67. Does your agency have documented and approved policies and procedures to implement the guidelines for the transfer of permanent email records to NARA described in NARA 2014-04: Appendix A, Revised Format Guidance for the Transfer of Permanent Electronic Records – Tables of File Formats Section 9 - Email (<http://www.archives.gov/records-mgmt/policy/transfer-guidance-tables.html>)?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

68. Do employees in your agency have more than one agency-administered email account? (NARA Bulletin 2013.02)

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		1	100%
3	Do not know		0	0%
Total			1	

69. Does your agency have documented and approved policies that address these types of accounts and that state that email records must be preserved in an appropriate agency recordkeeping system? (36 CFR 1236.22(b))

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		0	0%
3	Do not know		0	0%
Total			0	

70. Does your agency allow the use of personal email accounts to conduct official business? (36 CFR 1236.22(b))

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		1	100%
3	Do not know		0	0%
Total			1	

71. Does your agency have documented and approved policies that address the use of personal email accounts that state that all emails created and received by such accounts must be preserved in an appropriate agency recordkeeping system and that a complete copy of all email records created and received by users of these accounts must be forwarded to an official electronic messaging account of the officer or employee no later than 20 days after the original creation or transmission of the record? (36 CFR 1236.22(b) and P.L. 113-187)

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		0	0%
3	Do not know		0	0%
Total			0	

72. Does your agency's email system(s) retain the intelligent full names on directories or distribution lists to ensure identification of the sender and addressee(s) for those email messages that are Federal records? (36 CFR 1236.22(a)(3))

#	Answer	Bar	Response	%
1	Yes	<div style="background-color: blue; width: 100%; height: 10px;"></div>	1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

73. What method(s) does your agency employ to capture and manage email records? (Choose all that apply)

#	Answer	Bar	Response	%
1	Print and file		0	0%
2	Captured and stored as .PST		0	0%
3	Captured and stored in an electronic records management system		0	0%
4	Captured and stored in an email archiving system		0	0%
5	Not captured and email is managed by the end-user in the native system	<div style="background-color: blue; width: 100%; height: 10px;"></div>	1	100%
6	Other, please be specific	<div style="background-color: blue; width: 100%; height: 10px;"></div>	1	100%

Other, please be specific

End users are required by policy to remove Federal record material in email format out of the email system and into their office of record's shared electronic filing. As part of BPA's UDM project being implemented in FY 16-17, all email will be captured and managed in an agency recordkeeping system.

74. Does your agency audit staff compliance with the agency's email preservation policies?

#	Answer	Bar	Response	%
1	Yes	<div style="background-color: blue; width: 100%; height: 10px;"></div>	1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

75. Who audits staff compliance with the agency's email preservation policies? (Choose all that apply)

#	Answer	Bar	Response	%
1	Inspector General		0	0%
2	Chief Information Officer		0	0%
3	Agency Records Officer	<div style="background-color: blue; width: 100%; height: 10px;"></div>	1	100%
4	Other, please explain		0	0%
5	Do not know		0	0%

Other, please explain

76. How often does your agency audit staff compliance with the agency's email preservation policies?

#	Answer	Bar	Response	%
1	Every 6 months		0	0%
2	Every year		1	100%
3	Every 2 years		0	0%
4	Less frequently than every 2 years		0	0%
5	Do not know		0	0%
6	Not applicable, agency does not audit staff compliance		0	0%
Total			1	

77. Does your agency plan to adopt the "Capstone" approach to managing email records as specified in NARA Bulletin 2013-02, Guidance on a New Approach to Managing Email Records?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No, please explain		0	0%
3	Do not know		0	0%
Total			1	

No, please explain

78. Have you submitted a retention schedule for identifying "Capstone" accounts for approval by NARA?

#	Answer	Bar	Response	%
5	Yes		0	0%
6	No, please explain		0	0%
7	Do not know		0	0%
8	Not applicable, planning to use GRS 6.1: Email Managed Under a Capstone Approach		1	100%
Total			1	

No, please explain

79. Does your agency have documented and approved policies and procedures in place to manage electronic messages including: text messages, chat/instant messages, voice messages, and messages created in social media tools or applications?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Other, please explain		0	0%
Total			1	

Other, please explain

80. Does your agency have an approved records schedule covering electronic messages including: text messages, chat/instant messages, voice messages, and messages created in social media tools or applications that meet the definition of a Federal record?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

81. Does your agency create and maintain any of the following types of metadata for electronic records? (Choose all that apply)

#	Answer	Bar	Response	%
1	Descriptive metadata		0	0%
2	Structural metadata		0	0%
3	Administrative metadata		0	0%
4	Rights management metadata		0	0%
5	Preservation metadata		0	0%
6	Not applicable, please explain		0	0%
7	Do not know		0	0%
8	Other, please explain		1	100%

Not applicable, please explain

Other, please explain

BPA is implementing an unstructured data management solution for FY16-17. The solution is being designed to capture/maintain the listed metadata types with the exception of rights management metadata.

82. Does your agency maintain metadata for permanent records in a records management or other application?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Other, please explain		0	0%
Total			1	

Other, please explain

83. Does your agency maintain metadata for permanent records sufficient to understand, maintain and provide access to the records?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Other, please explain		0	0%
Total			1	

Other, please explain

84. Please add any additional comments about your agency for Section IV: Electronic Records. (Optional)

Text Response

85. Does your agency have an SAO for Records Management? (If you are a component of a Department, you may answer yes, even if this is not being done at the component level.)

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

86. Does your agency records officer meet regularly (four or more times a year) with the SAO for Records Management to discuss the agency records management program goals?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		1	100%
3	Do not know		0	0%
Total			1	

87. Is your agency actively working with NARA appraisal staff to schedule all unscheduled paper and other non-electronic records by December 31, 2016?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, all paper and other non-electronic records have been scheduled		1	100%
Total			1	

88. Does your agency have a method of continually identifying new and unscheduled records?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

89. What methods does your agency use to identify new and unscheduled records?

Text Response

BPA uses a '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. In addition, information asset plan submitted by each Office of Record are validated against the agency file plan and big bucket schedule to identify new records that require scheduling within the big bucket system.

90. Has your agency identified any additional unscheduled records that have not already been reported to NARA?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		1	100%
4	Do not know		0	0%
Total			1	

91. Please send to rmsselfassessment@nara.gov by January 29, 2016, an updated spreadsheet containing only the newly identified unscheduled records that have not already been reported to NARA. (The spreadsheet was sent to RMSA contacts on November 2, 2015, along with an advanced copy of the questionnaire. Please email rmsselfassessment@nara.gov if you did not receive it or need another one.)

#	Answer	Bar	Response	%
1	Sent		0	0%
2	Not Sent		0	0%
Total			0	

92. Does your agency use cloud services?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

93. For what purpose(s) is your agency using cloud services? (Choose all that apply)

#	Answer	Bar	Response	%
1	Email		0	0%
2	Administrative functions such as payroll, purchasing, and financial management		0	0%
3	Mission/program-related functions		1	100%
4	Other, please explain		0	0%
5	Do not know		0	0%

Other, please explain

94. Are recordkeeping requirements included?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

95. Will your agency use the new Records and Information Management Series, 0308, (job series) released by the Office of Personnel Management in 2015?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, my agency does not use the General Schedule (GS) job classifications		0	0%
Total			1	

96. Why will your agency NOT be using the new job series?

Text Response

97. In 2015, NARA and the Federal Records Council introduced the Federal RIM Program Maturity Model (<http://www.archives.gov/records-mgmt/prmd.html>). Are you familiar with this or other maturity models?

#	Answer	Bar	Response	%
4	Yes		1	100%
5	No		0	0%
6	Comments: (Optional)		0	0%

Comments: (Optional)

98. Are you using the Federal RIM Program Maturity Model or other maturity models to measure the maturity of the records management program?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Comments: (Optional)		0	0%

Comments: (Optional)

99. Does your agency use your RMSA scores to measure the effectiveness of the records management program?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Comments: (Optional) - Please include in your comments how you use the RMSA, if applicable		0	0%

Comments: (Optional) - Please include in your comments how you use the RMSA, if applicable

100. How many full-time equivalents (FTE) are in your agency/organization? (Choose one)

#	Answer	Bar	Response	%
1	500,000 or more FTEs		0	0%
2	100,000 – 499,999 FTEs		0	0%
3	10,000 – 99,999 FTEs		0	0%
4	1,000 – 9,999 FTEs		1	100%
5	100 – 999 FTEs		0	0%
6	1 – 99 FTEs		0	0%
7	Not Available		0	0%
Total			1	

101. What other staff, offices, or program areas did you consult when you completed this self-assessment? (Choose all that apply)

#	Answer	Bar	Response	%
1	Senior Agency Official		1	100%
2	Office of the General Counsel		1	100%
3	Program Managers		1	100%
4	Information Technology staff		1	100%
5	Records Liaison Officers or similar		0	0%
6	Administrative staff		0	0%
7	Other (please be specific)		1	100%
8	None		0	0%

Other (please be specific)

The RMSA is reported to the Information Governance Oversight Team, consisting of Program Managers and also to the Agency Compliance and Governance Committee, consisting of Senior Executives, and is approved by the SAO

102. How much time did it take you to gather the information to complete this self-assessment?

#	Answer	Bar	Response	%
1	Less than 3 hours		0	0%
2	More than 3 hours but less than 6 hours		1	100%
3	More than 6 hours but less than 10 hours		0	0%
4	More than 10 hours		0	0%
Total			1	

103. Did your agency's senior management review and concur with your responses to the 2015 Records Management Self-Assessment?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
Total			1	

104. Please provide your contact information.

Name:	Agency, Bureau, or Office:	Job Title:	Email Address:	Phone Number:
Christopher M. Frost	DOE - Bonneville Power Administration	Information Governance Supervisor, Agency Records Officer	cmfrost@bpa.gov	503-230-5602

105. Are you the Agency Records Officer?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
Total			1	

106. Please provide the name of your Agency Records Officer.

Text Response

107. Records Officer's Email Address:

Text Response

108. Records Officer's Phone Number:

Text Response

109. Do you have any suggestions on improving the Records Management Self-Assessment next year?

Text Response

It would be helpful to provide additional optional comment fields that would facilitate explanations for answers to additional questions.

110. Q_URL

Value	Total
/SE/?SID=SV_1HsFce0VMjHyIOB&Q_R=R_dhWaZtmn3R02VF3&Q_R_DEL=1	1

111. SSID

Value	Total
-------	-------

112. Score

Statistic	Value
Mean Score	92.00
Score Standard Deviation	0.00
Weighted Mean of Items	0.82
Weighted Standard Deviation of Items	1.30
Items	112.00

1. Is there a person in your agency who is responsible for coordinating and overseeing the implementation of the records management program? (36 CFR 1220.34(a))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

2. Please provide the person's name, position title, and office.

Text Response
Christopher M. Frost Information Governance Supervisor Agency Records Officer, FOIA/Privacy Officer Information Governance, CGI

3. How long has this person been responsible for coordinating and overseeing the implementation of the records management program?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> 5 or more years		1	100%
2	<input checked="" type="checkbox"/> 3 to 4 years		0	0%
3	<input checked="" type="checkbox"/> 1 to 2 years		0	0%
4	<input checked="" type="checkbox"/> Less than a year		0	0%
Total			1	

4. Does your agency have a Senior Agency Official for Records Management (SAORM)? (If you are a component of a department, you may answer "Yes," even if this is not being done at the component level.)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

5. Does your Agency Records Officer meet regularly (four or more times a year) with the SAORM to discuss the agency records management program's goals?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		1	100%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

6. Does your agency use the Records and Information Management Series, 0308, job series released by the Office of Personnel Management in 2015?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, my agency does not use the General Schedule (GS) job classification		0	0%
Total			1	

7. Does your agency have a network of designated employees within each program and administrative area who are assigned records management responsibilities? These individuals are often called Records Liaison Officers (RLOs), though their titles may vary. (36 CFR 1220.34(d))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		1	100%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, agency has less than 100 employees		0	0%
5	<input checked="" type="checkbox"/> Not applicable, Departmental Records Officer - this is done at the component level		0	0%
Total			1	

8. Of the following, please select the one that best describes your records management staff. This includes only those specifically assigned to the records management program.

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> All records management staff are agency personnel		0	0%
2	<input checked="" type="checkbox"/> All records management staff are contractors		0	0%
3	<input checked="" type="checkbox"/> Records management staff includes both agency personnel and contractors		1	100%
Total			1	

9. How many FTE agency personnel (non-contractors) are specifically assigned records management responsibilities? (These are individuals directly responsible for records management program implementation, not contacts within mission areas with minimal records management duties.) *For Department Records Officers, please include only the staff at the Department level, not agency components, as component agency records officers will be answering for their agencies.

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> <1		0	0%
2	<input checked="" type="checkbox"/> 1		0	0%
3	<input checked="" type="checkbox"/> 2 - 10		1	100%
4	<input checked="" type="checkbox"/> 10 - 20		0	0%
5	<input checked="" type="checkbox"/> More than 20		0	0%
6	<input checked="" type="checkbox"/> Do not know		0	0%
7	<input checked="" type="checkbox"/> Not available		0	0%
8	<input checked="" type="checkbox"/> Not applicable, all records management staff are contractors		0	0%
Total			1	

10. If your agency uses contractors, how many contractor FTE are specifically assigned records management responsibilities? (These are individuals directly responsible for records management program implementation, not general contacts within mission areas with minimal records management duties.) *For Department Records Officers, please include only the staff at the Department level, not agency components, as component agency records officers will be answering for their agencies.

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> <1		0	0%
2	<input checked="" type="checkbox"/> 1		0	0%
3	<input checked="" type="checkbox"/> 2 - 10		1	100%
4	<input checked="" type="checkbox"/> 10 - 20		0	0%
5	<input checked="" type="checkbox"/> More than 20		0	0%
6	<input checked="" type="checkbox"/> Do not know		0	0%
7	<input checked="" type="checkbox"/> Not available		0	0%
8	<input checked="" type="checkbox"/> Not applicable: all records management staff are agency personnel		0	0%
Total			1	

11. Does your agency have a documented and approved records management directive(s)? (36 CFR 1220.34(c))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No, pending final approval		0	0%
3	<input checked="" type="checkbox"/> No, under development		0	0%
4	<input checked="" type="checkbox"/> No		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

12. When was your agency's directive(s) last reviewed and/or revised to ensure it includes all new records management policy issuances and guidance?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> FY 2017 - present		1	100%
2	<input checked="" type="checkbox"/> FY 2015 - 2016		0	0%
3	<input checked="" type="checkbox"/> FY 2013 - 2014		0	0%
4	<input checked="" type="checkbox"/> FY 2012 or earlier		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
7	<input checked="" type="checkbox"/> Not applicable, agency does not have a records management directive		0	0%
Total			1	

13. Does your agency have internal records management training*, based on agency policies and directives, for employees assigned records management responsibilities? (36 CFR 1220.34(f)) *Includes NARA's records management training workshops that were customized specifically for your agency or use of an agency-customized version of the Federal Records Officer Network (FRON) RM 101 course.

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No, pending final approval		0	0%
4	<input checked="" type="checkbox"/> No, under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
6	<input checked="" type="checkbox"/> Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

14. Has your agency developed mandatory internal, staff-wide, formal training*, based on agency policy and directives, covering records in all formats, including electronic communications such as email, text messages, chat, or other messaging platforms or apps, such as social media or mobile device applications, which helps agency employees and contractors fulfill their recordkeeping responsibilities? ** (36 CFR 1220.34(f)) *Includes NARA's records management training workshops that were customized specifically for your agency or use of an agency-customized version of the Federal Records Officer Network (FRON) RM 101 course. **Components of departmental agencies may answer "Yes" if this is handled by the department. Department Records Officers may answer "Yes" if this is handled at the component level.

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No, pending final approval		0	0%
4	<input checked="" type="checkbox"/> No, under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

15. Does your agency require that all senior and appointed officials, including those incoming and newly promoted, receive training on the importance of appropriately managing records under their immediate control? (36 CFR 1220.34(f))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

16. Is records management training included in the in-processing for new employees in your agency?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No, pending final approval		0	0%
4	<input checked="" type="checkbox"/> No, under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

17. Please add any additional comments about your agency for Section I: Activities. (Optional)

Text Response

All new employees including senior officials are required to complete Information Governance and Lifecycle Management (IGLM) training within 30 days of new employee orientation and annually thereafter. In addition, Information Governance participates in new employee orientation to provide information on all of its programs (IGLM, FOIA and Privacy). IGLM also offers targeted live trainings for topics such as: Information Asset Planning, Filing to Retrieve, email management and other topics as well as FAQs and step-by-step materials posted to the internal Information Governance website.

18. In addition to your agency's established records management policies and records schedules, has your agency's records management program developed and implemented internal controls to ensure that all eligible, permanent agency records in all media are transferred to NARA according to approved records schedules? (36 CFR 1222.26(e)) ** These controls must be internal to your agency. Reliance on information from external agencies (e.g., NARA's Federal Records Centers) or other organizations should not be considered when responding to this question. * Examples of records management internal controls include but are not limited to: • Regular briefings and other meetings with records creators • Monitoring and testing of file plans • Regular review of records inventories • Internal tracking database of permanent record authorities and dates

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No, pending final approval		0	0%
4	<input checked="" type="checkbox"/> No, under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

19. In addition to your agency's established policies and records schedules, has your agency developed and implemented internal controls to ensure that Federal records are not destroyed before the end of their retention period? (36 CFR 1222.26(e)) ** These controls must be internal to your agency. Reliance on information from external agencies (e.g., NARA's Federal Records Centers) or other organizations should not be considered when responding to this question. * Examples of records management internal controls include but are not limited to: • Regular review of records inventories • Approval process for disposal notices from off-site storage • Require certificates of destruction • Monitoring shredding services • Performance testing for email • Monitoring and testing of file plans • Pre-authorization from records management program before records are destroyed • Ad hoc monitoring of trash and recycle bins • Notification from facilities staff when large trash bins or removal of boxes are requested • Annual records clean-out activities sponsored and monitored by records management staff

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No, pending final approval		0	0%
4	<input checked="" type="checkbox"/> No, under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

20. Does your agency evaluate, by conducting inspections/audits/reviews, its records management program to ensure that it is efficient, effective, and compliant with all applicable records management laws and regulations? ** For this question, your agency's records management program, or a major component of the program (e.g., vital records identification and management, the records disposition process, records management training, or the management of your agency's electronic records), must be the primary focus of the inspection/audit/review.

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes, evaluations are conducted by the Records Management Program		0	0%
2	<input checked="" type="checkbox"/> Yes, evaluations are conducted by the Office of Inspector General		0	0%
3	<input checked="" type="checkbox"/> Yes, evaluations are conducted by the Records Management Program AND the Office of Inspector General		0	0%
4	<input checked="" type="checkbox"/> Yes, evaluations are conducted by:	<div style="width: 100%;"></div>	1	100%
5	<input checked="" type="checkbox"/> No, please explain		0	0%
6	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

Yes, evaluations are conducted by:
Information Security Office, Privacy Officer and IGLM team in coordination.

No, please explain
-

21. How often is your records management program, or a major component of your program, evaluated for compliance with agency records management policies and procedures?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Annually	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> Bi-annually		0	0%
3	<input checked="" type="checkbox"/> Once every 3 years		0	0%
4	<input checked="" type="checkbox"/> Ad hoc		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
6	<input checked="" type="checkbox"/> Not applicable, agency does not evaluate its records management program		0	0%
Total			1	

22. Was a formal written report prepared as part of the most recent inspection/audit/review?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, agency does not evaluate its records management program		0	0%
Total			1	

23. Do your agency's evaluation procedures include creating plans of corrective action that are monitored for implementation?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, agency does not evaluate its records management program		0	0%
Total			1	

24. Has your agency established performance goals for its records management program? *Examples of performance goals include but are not limited to: • Identifying and scheduling all paper and non-electronic records by the end of FY 2017 • Developing computer-based records management training modules by the end of FY 2017 • Planning and piloting an electronic records management solution for email by the end of FY 2018 • Updating records management policies by the end of the year • Conducting records management evaluations of at least one program area each quarter

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Currently under development		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
5	<input checked="" type="checkbox"/> Pending final approval		0	0%
Total			1	

25. Has your agency's records management program identified performance measures for records management activities such as training, records scheduling, permanent records transfers, etc.? *Examples of performance measures include but are not limited to: • Percentage of agency employees that receive records management training in a year • A reduction in the volume of inactive records stored in office space • Percentage of eligible permanent records transferred to NARA in a year • Percentage of records scheduled • Percentage of offices evaluated/inspected for records management compliance • Percentage of email management auto-classification rates • Development of new records management training modules • Audits of internal systems • Annual updates of file plans • Performance testing for email applications to ensure records are captured • Percentage of records successfully retrieved by Agency FOIA Officer in response to FOIA requests

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Currently under development		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
5	<input checked="" type="checkbox"/> Pending final approval		0	0%
Total			1	

26. Does your agency's records management program have documented and approved policies and procedures that instruct staff on how your agency's permanent records in all formats must be managed and stored? (36 CFR 1222.34(e))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No, pending final approval		0	0%
4	<input checked="" type="checkbox"/> No, under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

27. Is your agency subject to laws or regulations that require you to conduct business using paper or analog records? *Components of departmental agencies may answer "Yes" if this is handled by the department. Department Records Officers may answer "Yes" if this is handled at the component level.

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 0%;"></div>	0	0%
2	<input checked="" type="checkbox"/> No	<div style="width: 100%;"></div>	1	100%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

28. Which of the following possible examples of requirements for paper or analog records apply to your agency's needs? (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Wet signatures are required for transactions with non-Federal entities (including the public)		0	0%
2	<input checked="" type="checkbox"/> Transactions are required to be conducted using paper/hard copy		0	0%
3	<input checked="" type="checkbox"/> Agency is required to offer paper/hard copy as an available option for transactions		0	0%
4	<input checked="" type="checkbox"/> Other, please be specific:		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
6	<input checked="" type="checkbox"/> Comments: (Optional)		0	0%
7	<input checked="" type="checkbox"/> Wet signatures are required for transactions between Federal agencies		0	0%
Other, please be specific:				
Comments: (Optional)				

29. Has your agency identified the vital records of all its program and administrative areas? (36 CFR 1223.16) *Components of departmental agencies may answer "Yes" if this is handled by the department.

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

30. How often does your agency review and update its vital records inventory? (36 CFR 1223.14)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Annually	<div style="width: 0%;"></div>	0	0%
2	<input checked="" type="checkbox"/> Bi-annually		0	0%
3	<input checked="" type="checkbox"/> Once every 3 years	<div style="width: 100%;"></div>	1	100%
4	<input checked="" type="checkbox"/> Never		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
6	<input checked="" type="checkbox"/> Ad hoc		0	0%
Total			1	

31. Is your vital records plan part of the Continuity of Operations (COOP) plan?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

32. Does your agency have policies in place to protect records and information from internal and external risks?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No, pending final approval		0	0%
4	<input checked="" type="checkbox"/> No, under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

33. The Agency Records Officer and the FOIA Officer:

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Are the same person		1	100%
2	<input checked="" type="checkbox"/> Coordinate closely together		0	0%
3	<input checked="" type="checkbox"/> Work together sometimes		0	0%
4	<input checked="" type="checkbox"/> Never work together		0	0%
Total			1	

34. Are the Agency Records Officer and the FOIA Officer in the same office/division within your agency?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Agency Records Officer and the FOIA Officer are the same person		0	0%
Total			1	

35. Records needed to respond to a FOIA request are readily accessible and located by staff responsible for FOIA:

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Always		0	0%
2	<input checked="" type="checkbox"/> Most of the time		1	100%
3	<input checked="" type="checkbox"/> Some of the time		0	0%
4	<input checked="" type="checkbox"/> Never		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

36. Staff responsible for FOIA can search for records without contacting others (i.e. program offices):

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Always		0	0%
2	<input checked="" type="checkbox"/> Most of the time		0	0%
3	<input checked="" type="checkbox"/> Some of the time		1	100%
4	<input checked="" type="checkbox"/> Never		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

37. At what point in the FOIA process does your agency inform requesters of the Office of Government Information Services' (OGIS) dispute resolution services? (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> When there is an adverse determination		1	100%
2	<input checked="" type="checkbox"/> When notifying the requester that the agency needs more than 10 additional days to process a request		0	0%
3	<input checked="" type="checkbox"/> When responding to the requester's appeal		1	100%
4	<input checked="" type="checkbox"/> Never		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
6	<input checked="" type="checkbox"/> Other, please explain		0	0%
Other, please explain				

38. What mode does your agency most often use to release records under FOIA?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Email		1	100%
2	<input checked="" type="checkbox"/> Online portal		0	0%
3	<input checked="" type="checkbox"/> U.S. mail		0	0%
4	<input checked="" type="checkbox"/> Other, please explain		0	0%
Total			1	
Other, please explain				

39. In 2015, NARA and the Federal Records Management Council introduced the Federal RIM Program Maturity Model. Are you familiar with this or other maturity models?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Comments: (Optional)		0	0%
Comments: (Optional)				

40. Are you using the Federal RIM Program Maturity Model or other maturity models to measure the maturity of the records management program?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Comments: (Optional)		0	0%

Comments: (Optional)

41. Does your agency use your Records Management Self-Assessment scores to measure the effectiveness of the records management program?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Comments (Optional): Please include in your comments how you use the Records Management Self-Assessment.		0	0%

Comments (Optional): Please include in your comments how you use the Records Management Self-Assessment.

42. Please add any additional comments about your agency for Section II: Oversight and Compliance. (Optional)

Text 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; Response, Investigation, Discipline & Incentives and Risk Assessment & Management. These program elements allow for 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.

43. Are records and information in your agency managed throughout the lifecycle [creation/capture, classification, maintenance, retention, and disposition] by being properly identified, classified using a taxonomy, inventoried, and scheduled? (36 CFR 1222.34, 36 CFR 1224.10 and 36 CFR 1225.12)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> To some extent		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

44. Are records and information in your agency easily retrievable and accessible when needed for agency business? (36 CFR 1220.32(c))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes, all records are easily retrievable and accessible when needed	<div style="width: 100%;"></div>	0	0%
2	<input checked="" type="checkbox"/> Most records can be retrieved and accessed in a timely manner	<div style="width: 100%;"></div>	1	100%
3	<input checked="" type="checkbox"/> Some records can be retrieved and accessed in a timely manner		0	0%
4	<input checked="" type="checkbox"/> No		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

45. Does your agency disseminate every approved disposition authority (including newly approved records schedules and General Records Schedule items) to agency staff within six months of approval? (36 CFR 1226.12(a))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

46. What method(s) does your agency use? (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Post to internal website or other shared information location	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> Memorandum or email notification		0	0%
3	<input checked="" type="checkbox"/> Update training materials		0	0%
4	<input checked="" type="checkbox"/> Update records management policies and/or handbooks		0	0%
5	<input checked="" type="checkbox"/> Other, please explain	<div style="width: 100%;"></div>	1	100%

Other, please explain

In the information asset planning (IAP) process, the IGLM team discusses current records schedules that may be applicable to an organization's records and captures the assignments of those schedules on the IAP.

47. Does your agency have a method of continually identifying new and unscheduled records?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

48. Which method(s) does your agency use? (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Regular surveys		0	0%
2	<input checked="" type="checkbox"/> Regular inventories		1	100%
3	<input checked="" type="checkbox"/> Records management evaluations, site assessments, or audits of program offices		1	100%
4	<input checked="" type="checkbox"/> Work with program managers to identify new programs and related records		0	0%
5	<input checked="" type="checkbox"/> Work with Privacy Officer and review SORNs (Systems of Records Notices)		1	100%
6	<input checked="" type="checkbox"/> Work with FOIA Officer		1	100%
7	<input checked="" type="checkbox"/> Records Liaison Officers notify Agency Records Officer of new record series		0	0%
8	<input checked="" type="checkbox"/> Require use and annual update of file plans		1	100%
9	<input checked="" type="checkbox"/> Participate in design and retirement of information systems and note changes in records		0	0%
10	<input checked="" type="checkbox"/> Outreach and awareness		0	0%
11	<input checked="" type="checkbox"/> Other, please explain		0	0%

Other, please explain

49. Does your agency have permanent records that are 30 years old or older that are located in agency office space, agency-operated records centers, and/or commercial records centers? (36 CFR 1235.12(b) and M-12-18))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

50. Are you aware of the requirement to formally request permission from NARA to retain permanent records beyond that time specified in your agency's NARA-approved records schedules as outlined in 36 CFR 1235.14 and 1235.16?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
Total			1	

51. Did your agency transfer permanent non-electronic records to NARA during FY 2017? (36 CFR 1235.12)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No - No records were eligible for transfer during FY 2017		0	0%
4	<input checked="" type="checkbox"/> No - New agency, records are not yet old enough to transfer		0	0%
5	<input checked="" type="checkbox"/> No - My agency does not have any permanent non-electronic records		0	0%
6	<input checked="" type="checkbox"/> Do not know		0	0%
7	<input checked="" type="checkbox"/> Other, please explain		0	0%
Total			1	

Other, please explain

52. Did your agency transfer permanent electronic records to NARA during FY 2017? (36 CFR 1235.12)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		0	0%
4	<input checked="" type="checkbox"/> No - No electronic records/systems were eligible for transfer during FY 2017		1	100%
5	<input checked="" type="checkbox"/> No - New agency, electronic records/systems are not old enough to transfer		0	0%
7	<input checked="" type="checkbox"/> Do not know		0	0%
8	<input checked="" type="checkbox"/> Other, please explain		0	0%
9	<input checked="" type="checkbox"/> No - My agency does not have any permanent electronic records		0	0%
Total			1	

Other, please explain

53. Does your agency track when its permanent records (regardless of format) are due to be transferred to NARA?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

54. What method(s) does your agency use to track its permanent records? (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Rely on Federal Records Center notifications		1	100%
2	<input checked="" type="checkbox"/> Maintain an inventory		1	100%
3	<input checked="" type="checkbox"/> Database or other automated tracking		1	100%
4	<input checked="" type="checkbox"/> Manual tracking		0	0%
5	<input checked="" type="checkbox"/> Other, please explain		0	0%

Other, please explain

55. Does your agency conduct, and document for accountability purposes, training and/or other briefings as part of the on-boarding process for senior officials on their records management roles and responsibilities, including the appropriate disposition of records and the use of personal and unofficial email accounts? (36 CFR 1222.24(a)(6) and 36 CFR 1230.10(a & b))

#	Answer	Bar	Response	%
8	<input checked="" type="checkbox"/> Yes		1	100%
9	<input checked="" type="checkbox"/> Yes, but not documented		0	0%
10	<input checked="" type="checkbox"/> No		0	0%
11	<input checked="" type="checkbox"/> Do not know		0	0%
12	<input checked="" type="checkbox"/> Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

56. Is the Agency Records Officer and/or Senior Agency Official for Records Management involved in on-boarding briefings or other processes for newly appointed senior officials? (Not scored)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		1	100%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

57. Does your agency conduct, and document for accountability purposes, exit briefings for departing senior officials on the appropriate disposition of records, including email, under their immediate control? (36 CFR 1222.24(a)(6) and 36 CFR 1230.10(a & b))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> Yes, but not documented		0	0%
3	<input checked="" type="checkbox"/> No		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
5	<input checked="" type="checkbox"/> Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

58. Is the Agency Records Officer and/or Senior Agency Official for Records Management involved in exit briefings or other exit clearance processes for departing senior officials?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

59. Does the exit or separation process for departing senior officials include records management program staff or other designated official(s) reviewing and approving the removal of personal papers and copies of records by those senior officials? (36 CFR 1222.24(a)(6))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No, please explain		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

No, please explain

60. Does your agency store inactive temporary and/or permanent records in a commercial records storage facility?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		1	100%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

61. Does the facility comply with the standards prescribed by 36 CFR 1234?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			0	

62. Does your agency store inactive temporary and/or permanent records in an agency records center? (Note: This does NOT include agency staging areas and temporary holding areas.)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		1	100%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

63. Does the records center comply with the standards prescribed by 36 CFR 1234?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			0	

64. Does your agency store inactive temporary and/or permanent records in an agency records staging or holding area?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

65. Does the staging or holding area(s) comply with the standards prescribed by 36 CFR 1234.10, 36 CFR 1234.12, and 36 CFR 1234.14? *It is not required but encouraged that staging or holding areas comply with 36 CFR 1234.

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		1	100%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

66. Please estimate the volume of inactive temporary records, in cubic feet, that your agency is storing in a non-NARA storage facility. (A cubic foot is equivalent to one records storage box.)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> 0 - 1,000		0	0%
2	<input checked="" type="checkbox"/> 1,000 - 5,000		1	100%
3	<input checked="" type="checkbox"/> 5,000 - 15,000		0	0%
4	<input checked="" type="checkbox"/> 15,000 - 25,000		0	0%
5	<input checked="" type="checkbox"/> 25,000 - 50,000		0	0%
6	<input checked="" type="checkbox"/> 50,000 - 100,000		0	0%
7	<input checked="" type="checkbox"/> 100,000 - 250,000		0	0%
8	<input checked="" type="checkbox"/> 250,000 or greater		0	0%
Total			1	

67. Please estimate the volume of inactive permanent records, in cubic feet, that your agency is storing in a non-NARA storage facility. (A cubic foot is equivalent to one records storage box.)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> 0 - 1,000		1	100%
2	<input checked="" type="checkbox"/> 1,000 - 5,000		0	0%
3	<input checked="" type="checkbox"/> 5,000 - 15,000		0	0%
4	<input checked="" type="checkbox"/> 15,000 - 25,000		0	0%
5	<input checked="" type="checkbox"/> 25,000 - 50,000		0	0%
6	<input checked="" type="checkbox"/> 50,000 - 100,000		0	0%
7	<input checked="" type="checkbox"/> 100,000 - 250,000		0	0%
8	<input checked="" type="checkbox"/> 250,000 or greater		0	0%
Total			1	

68. Did your agency receive a list of permanent records eligible for transfer in FY 2017?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, my agency does not store records in the Federal Records Centers		0	0%
Total			1	

69. Did your agency submit transfer requests in FY 2017 based on the Annual Move list of eligible permanent records to be accessioned by the National Archives?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No, please explain		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

No, please explain

70. Please add any additional comments about your agency for Section III: Records Disposition. (Optional)

Text Response

71. Has your agency incorporated and/or integrated internal controls to ensure the reliability, authenticity, integrity, and usability of agency electronic records maintained in electronic information systems? (36 CFR 1236.10)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, please explain		0	0%
5	<input checked="" type="checkbox"/> To some extent		1	100%
Total			1	

Not applicable, please explain

72. Does your agency have documented and approved procedures to enable the migration of records and associated metadata to new storage media or formats so that records are retrievable and usable as long as needed to conduct agency business and to meet NARA-approved dispositions? (36 CFR 1236.20(b)(6))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> No, pending final approval		0	0%
5	<input checked="" type="checkbox"/> No, under development		0	0%
Total			1	

73. Are records management staff involved in developing procedures to ensure that records are properly migrated from retired systems? (36 CFR 1235.20(b)(6))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, please explain		0	0%
5	<input checked="" type="checkbox"/> To some extent		0	0%
Total			1	

Not applicable, please explain

74. Does your agency maintain an inventory of electronic information systems that indicates whether or not each system is covered by an approved NARA disposition authority? (36 CFR 1236.26(a))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No, please explain		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

No, please explain

75. Does your agency ensure that records management functionality, including the capture, retrieval, and retention of records according to agency business needs and NARA-approved records schedules, is incorporated into the design, development, and implementation of its electronic information systems? (36 CFR 1236.12) *Components of departmental agencies may answer "Yes" if this is handled by the department.

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No, please explain		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, please explain		0	0%
Total			1	

No, please explain

Not applicable, please explain

76. Does your agency's records management program staff participate in the design, development, and implementation of new electronic information systems?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> To some extent		1	100%
3	<input checked="" type="checkbox"/> No, please explain		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
5	<input checked="" type="checkbox"/> Not applicable, please explain		0	0%
Total			1	

No, please explain

Not applicable, please explain

77. Which of these activities does your agency's records management program staff participate in to ensure that records requirements are part of the recommended solution? (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Participate in review and acceptance of proposals for new systems		1	100%
2	<input checked="" type="checkbox"/> Participate as stakeholder in requirements gathering		0	0%
3	<input checked="" type="checkbox"/> Participate as stakeholder in design phase		0	0%
4	<input checked="" type="checkbox"/> Participate as stakeholder in development phase including testing the system		0	0%
5	<input checked="" type="checkbox"/> Provide sign off authority for the implementation of new systems		0	0%
6	<input checked="" type="checkbox"/> Monitor system for adherence to standards, policies, and procedures		1	100%
7	<input checked="" type="checkbox"/> Provide information only		0	0%
8	<input checked="" type="checkbox"/> Do not know		0	0%
9	<input checked="" type="checkbox"/> Other, please explain		1	100%

Other, please explain

The Agency Records Officer sits on the Agency Prioritization Steering Committee, which reviews and approves all IT projects and expenditures. As part of those reviews, the Agency Records Officer specifically addresses Records and Privacy requirements with project teams and sponsors.

78. Does your agency have documented and approved policies requiring permanent electronic records be managed in an electronic format for eventual transfer to NARA?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No, under development		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

79. Does your agency have protections against unauthorized use, alteration, alienation or deletion of all electronic records?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> To some extent		1	100%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

80. Does your agency have the capability to place legal holds on all electronic records until disposition is authorized?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> To some extent		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

81. Does your agency comply with the requirements under Executive Orders 13526 and 13556 for managing classified and controlled unclassified information in systems that contain electronic records?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> To some extent		1	100%
4	<input checked="" type="checkbox"/> Do not know		0	0%
5	<input checked="" type="checkbox"/> Not applicable, not an executive branch agency		0	0%
Total			1	

82. Does your agency have the ability to search across all systems to find electronic records needed for agency business, FOIA and other information requests?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> To some extent		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

83. Does your agency have a digitization strategy to reformat permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, and analog audio)?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> To some extent		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

84. Does your agency manage your web content as records?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

85. How does your agency capture web content managed as records? (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Content is printed and filed		0	0%
2	<input checked="" type="checkbox"/> Content is captured manually through periodic web snapshots		0	0%
3	<input checked="" type="checkbox"/> Content is automatically harvested using specific tools		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
5	<input checked="" type="checkbox"/> Other, please explain		1	100%

Other, please explain

Agency website only contains convenience copies. The program office is responsible for identifying the Federal record on their information asset plan (IAP) and storing it in an approved location (structured electronic information system, SharePoint site or shared network drive) so the agency's records ERKS (Discovery Core) can appropriately manage the Federal record.

86. Web content management includes: (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Identification of record copy whether online or off-line		1	100%
2	<input checked="" type="checkbox"/> Identifying the program office responsible for official record copy		1	100%
3	<input checked="" type="checkbox"/> Records retention scheduling of web content		0	0%
4	<input checked="" type="checkbox"/> Preservation of record copy in accordance with retention schedule		0	0%
5	<input checked="" type="checkbox"/> Migration of content when website is updated		0	0%
6	<input checked="" type="checkbox"/> Maintaining access throughout the life-cycle even if removed from the website		0	0%
7	<input checked="" type="checkbox"/> Managing convenience copies as duplicates and applying disposition as needed		1	100%
8	<input checked="" type="checkbox"/> Transfer of permanent web records to the National Archives		0	0%
9	<input checked="" type="checkbox"/> Other, please explain		0	0%

Other, please explain

87. Does your agency use cloud services?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

88. For what purpose(s) is your agency using cloud services? (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Email		0	0%
2	<input checked="" type="checkbox"/> Administrative functions such as payroll, purchasing, and financial management		0	0%
3	<input checked="" type="checkbox"/> Mission/program-related functions		1	100%
4	<input checked="" type="checkbox"/> Other, please explain		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Other, please explain				

89. Are recordkeeping requirements included?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
3	<input checked="" type="checkbox"/> No		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

90. 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)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

91. Does your agency have documented and approved policies and procedures in place to handle email records that have a retention period longer than 180 days? (36 CFR 1236.22)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No, please explain		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	
No, please explain				

92. Does your agency have documented and approved policies and procedures to implement the guidelines for the transfer of permanent email records to NARA described in NARA 2014-04: Revised Format Guidance for the Transfer of Permanent Electronic Records – Appendix A: Tables of File Formats, Section 9 - Email, <https://www.archives.gov/records-mgmt/policy/transfer-guidance-tables.html>? (36 CFR 1236.22(e))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

93. Do employees in your agency have more than one agency-administered email account? (NARA Bulletin 2013-03) * Examples of business needs may include but are not limited to: Using separate accounts for public and internal correspondence Creating accounts for a specific agency initiative which may have multiple users Using separate accounts for classified information and unclassified information

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

94. Does your agency have documented and approved policies that address these types of accounts and that state that email records must be preserved in an appropriate agency recordkeeping system? (36 CFR 1236.22)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> No, pending final approval		0	0%
5	<input checked="" type="checkbox"/> No, under development		0	0%
Total			1	

95. Does your agency allow the use of personal email accounts to conduct official business? (36 CFR 1236.22(b))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		1	100%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

96. Does your agency have documented and approved policies that address the use of personal email accounts, whether or not allowed, that state that all emails created and received by such accounts must be preserved in an appropriate agency recordkeeping system and that a complete copy of all email records created and received by users of these accounts must be forwarded to an official electronic messaging account of the officer or employee no later than 20 days after the original creation or transmission of the record? (36 CFR 1236.22(b) and P.L. 113-187)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> No, pending final approval		0	0%
5	<input checked="" type="checkbox"/> No, under development		0	0%
Total			1	

97. Does your agency's email system(s) retain the intelligent full names on directories or distribution lists to ensure identification of the sender and addressee(s) for those email messages that are Federal records? (36 CFR 1236.22(a)(3))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

98. What method(s) does your agency employ to capture and manage email records? (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Captured and stored in an email archiving system		1	100%
2	<input checked="" type="checkbox"/> Captured and stored in an electronic records management system		0	0%
3	<input checked="" type="checkbox"/> Captured and stored as personal storage table (PST) files		0	0%
4	<input checked="" type="checkbox"/> Print and file		0	0%
5	<input checked="" type="checkbox"/> Not captured and email is managed by the end-user in the native system		0	0%
6	<input checked="" type="checkbox"/> Other, please be specific		0	0%
Other, please be specific				

99. Does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies? (36 CFR 1220.18)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

100. How often does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Annually		1	100%
2	<input checked="" type="checkbox"/> Biannually		0	0%
3	<input checked="" type="checkbox"/> Once every 3 years		0	0%
4	<input checked="" type="checkbox"/> Ad hoc		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

101. Which of the following has your agency chosen for retention scheduling of email?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> GRS 6.1 Email Managed under a Capetone Approach		0	0%
2	<input checked="" type="checkbox"/> Agency-specific schedule		0	0%
3	<input checked="" type="checkbox"/> Combination of agency-specific schedule and GRS 6.1		1	100%
4	<input checked="" type="checkbox"/> Email retention has not been scheduled		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
6	<input checked="" type="checkbox"/> Other, please explain		0	0%
Total			1	
Other, please explain				

102. Is your agency able to access email from departed employees in a usable format?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> To some extent		0	0%
Total			1	

103. Is your agency able to prevent unauthorized access, modification, or destruction of emails?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> To some extent		0	0%
Total			1	

104. Can your agency transfer permanent email records to the National Archives in accordance with agency records schedules or General Records Schedules and NARA regulations and guidance?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> To some extent		0	0%
Total			1	

105. Is your agency able to decrypt permanent email records before they are accessioned by NARA?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

106. Does your agency have an approved records schedule covering electronic messages including text messages, chat/instant messages, voice messages, and messages created in social media tools or applications that meet the definition of a Federal record?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> No, pending final approval		0	0%
5	<input checked="" type="checkbox"/> No, under development		0	0%
Total			1	

107. Does your agency have documented and approved policies and procedures in place to manage electronic messages including text messages, chat/instant messages, voice messages, and messages created in social media tools or applications?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Other, please explain		0	0%
5	<input checked="" type="checkbox"/> No, pending final approval		0	0%
6	<input checked="" type="checkbox"/> No, under development		0	0%
Total			1	

Other, please explain

108. Please add any additional comments about your agency for Section IV: Electronic Records. (Optional)

Text Response

109. Does the records management program have a dedicated budget?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

110. Please report actual obligations for records management purposes incurred in FY 2017 for each of the

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Please enter dollar amount (without the \$ sign):		0	0%
2	<input checked="" type="checkbox"/> Do not know		0	0%
3	<input checked="" type="checkbox"/> Prefer not to answer		1	100%
4	<input checked="" type="checkbox"/> Not applicable, all records management staff are contractors		0	0%
Total			1	

Please enter dollar amount (without the \$ sign):

111. Records Storage Contracts and Inter-Agency Agreements (paper and analog formats):

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Please enter dollar amount (without the \$ sign):		0	0%
2	<input checked="" type="checkbox"/> Do not know		0	0%
3	<input checked="" type="checkbox"/> Prefer not to answer		1	100%
Total			1	

Please enter dollar amount (without the \$ sign):

112. Records Management IT Systems and Electronic Records Storage:

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Please enter dollar amount (without the \$ sign):		0	0%
2	<input checked="" type="checkbox"/> Do not know		0	0%
3	<input checked="" type="checkbox"/> Prefer not to answer		1	100%
Total			1	

Please enter dollar amount (without the \$ sign):

113. Travel and Transportation for records management purposes:

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Please enter dollar amount (without the \$ sign):		0	0%
2	<input checked="" type="checkbox"/> Do not know		0	0%
3	<input checked="" type="checkbox"/> Prefer not to answer		1	100%
Total			1	

Please enter dollar amount (without the \$ sign):

114. Records Management Training:

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Please enter dollar amount (without the \$ sign):		0	0%
2	<input checked="" type="checkbox"/> Do not know		0	0%
3	<input checked="" type="checkbox"/> Prefer not to answer		1	100%
Total			1	

Please enter dollar amount (without the \$ sign):

115. Other:

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Please enter dollar amount (without the \$ sign):		0	0%
2	<input checked="" type="checkbox"/> Do not know		0	0%
3	<input checked="" type="checkbox"/> Prefer not to answer		0	0%
4	<input checked="" type="checkbox"/> Not applicable		1	100%
5	<input checked="" type="checkbox"/> Please enter additional category here: (Please be specific)		0	0%
Please enter dollar amount (without the \$ sign):		Please enter additional category here: (Please be specific)		

116. Comments: (Optional)

Text Response
 BPA has answered the above questions as "prefer not to answer" due in part to the small size of the program in general, but primarily because its budget is tracked within BPA's Compliance and Governance program budget, which covers four sub (or tier III) organizations. As a result, a number of elements (e.g. training) are not broken out at the Tier III level.

117. How many full-time equivalents (FTE) are in your agency/organization?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> 500,000 or more FTEs		0	0%
2	<input checked="" type="checkbox"/> 100,000 – 499,999 FTEs		0	0%
3	<input checked="" type="checkbox"/> 10,000 – 99,999 FTEs		0	0%
4	<input checked="" type="checkbox"/> 1,000 – 9,999 FTEs		1	100%
5	<input checked="" type="checkbox"/> 100 – 999 FTEs		0	0%
6	<input checked="" type="checkbox"/> 1 – 99 FTEs		0	0%
7	<input checked="" type="checkbox"/> Not Available		0	0%
Total			1	

118. What other staff, offices, or program areas did you consult when you completed this self-assessment? (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Senior Agency Official		1	100%
2	<input checked="" type="checkbox"/> Office of the General Counsel		1	100%
3	<input checked="" type="checkbox"/> Program Managers		1	100%
4	<input checked="" type="checkbox"/> FOIA Officer		1	100%
5	<input checked="" type="checkbox"/> Information Technology staff		1	100%
6	<input checked="" type="checkbox"/> Records Liaison Officers or similar		0	0%
7	<input checked="" type="checkbox"/> Administrative staff		0	0%
8	<input checked="" type="checkbox"/> Other, please be specific:		1	100%
9	<input checked="" type="checkbox"/> None		0	0%

Other, please be specific:

The RMSA was reported to the Information Governance Oversight Team, consisting of program managers and also the Agency Compliance & Governance Committee consisting of Senior Executives including Deputy Administrator, Chief Operating Officer, Executive VP for Compliance, Audit, and Risk, and General Counsel, and is approved by the SAORM.

119. How much time did it take you to gather the information to complete this self-assessment?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Under 3 hours		0	0%
2	<input checked="" type="checkbox"/> More than 3 hours but less than 6 hours		1	100%
3	<input checked="" type="checkbox"/> More than 6 hours but less than 10 hours		0	0%
4	<input checked="" type="checkbox"/> Over 10 hours		0	0%
Total			1	

120. Did your agency's senior management review and concur with your responses to the 2017 Records Management Self-Assessment?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

121. Please provide your contact information.

Name:	Agency, Bureau, or Office:	Job Title:	Email Address:	Phone Number:
Christopher M. Frost	DOE-Bonneville Power Administration	Information Governance supervisor, Agency Records Officer, FOIA/Privacy Officer	cmfrost@bpa.gov	505-230-5632

122. Are you the Agency Records Officer?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
Total			1	

123. Please provide the Agency Records Officer's contact information.

Name:	Email Address:	Phone Number:

124. Do you have any suggestions for improving the Records Management Self-Assessment next year?

Text Response
 There are certain additional questions that would benefit from a narrative commentary box or an "other, please explain (with commentary box)" As an example, Q5 - Agency records Officer meeting four or more times a year with the SAORM - would benefit from allowing for commentary. At BPA, the SAORM is the Administrator. The organizational governance structure of the agency has assigned a Compliance and Governance responsibilities to a Committee of Senior Executives including the Deputy Administrator, Executive VP for Compliance Audit and Risk, and General Counsel. The IGLM program reports regularly to this committee in lieu of meeting with the Administrator. As a second example, BPA is not large enough to have Records Liaisons with assigned duties as part of their position descriptions, however, BPA requires that each organization identify a Point of Contact for developing Information Asset Plans (IAP). The POC is identified by the Manager of the Office of Record, who must also approve the completed IAP resulting in sufficient controls to ensure compliance with records requirements in lieu of Records Liaisons.

125. Q_URL

Value	Total
/SE/?SID=SV_3KSUMglxyns4UgB&Q_DL=0Vd0peWUYw4JCdf_3KSUMglxyns4UgB_MLRP_6A6lyqsXYO1w4pT&Q_CHL=email&Q_JFE=0	1

126. SSID

Value	Total
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127. Score

Statistic	Value
Mean Score	93.00
Score Standard Deviation	0.00
Weighted Mean of Items	0.73
Weighted Standard Deviation of Items	1.26
Items	128.00