



Department of Energy

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

FREEDOM OF INFORMATION ACT/PRIVACY PROGRAM

August 28, 2019

In reply refer to: FOIA #BPA-2019-01291-F

Mr. Michael Ravnitzky

(b) (6)

Dear Mr. Ravnitzky,

This communication is the Bonneville Power Administration's (BPA) response to your request for agency records made under the Freedom of Information Act, 5 U.S.C. § 552 (FOIA). Your original records request was received by the National Archives and Records Administration (NARA) on June 10, 2019. That portion of your request applicable to BPA was transferred on August 23, 2019, for agency-specific partial fulfillment. Your request for BPA records has been assigned the tracking number BPA-2019-01291-F. Please use that tracking number in all communications regarding the BPA portion of your request.

Request

“...the Records Management Self-Assessment (RMSA) report [annually collected by NARA] for each federal agency. You may limit this request to the most recent self-assessment reporting year available.”

Response

BPA's most recent RMSA report sent to NARA is comprised of 23 pages. BPA is herein releasing those 23 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-2019-01291-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 James King, CorSource Technology Group LLC, at jjking@bpa.gov or 503.230.7621.

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	<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	

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

Text Response

CG Manager Agency Records Office


3. 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	<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	


4. 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	<div style="width: 100%;"></div>	1	100%
3	<input checked="" type="checkbox"/> Do not know		0	0%
	total		1	


5. 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		0	0%
2	✗ No		1	100%
3	✗ Do not know		0	0%
4	✓ Not applicable agency has less than 100 employees		0	0%
5	✓ Not applicable Department Records Officer - this is done at the component level		0	0%
	total		1	

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✓ No pending final approval		0	0%
3	✓ No under development		0	0%
4	✗ No		0	0%
5	✗ Do not know		0	0%
	total		1	

7. 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 2018 - present		1	100%
2	✓ FY 2016 - 2017		0	0%
3	✓ FY 2014 - 2015		0	0%
4	✗ FY 2013 or earlier		0	0%
5	✗ Do not know		0	0%
6	✗ Not applicable agency does not have a records management directive		0	0%
	total		1	

8. 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	✓ Yes		1	100%
2	✗ No		0	0%
3	✓ No pending inal approval		0	0%
4	✓ No under development		0	0%
5	✗ Do not know		0	0%
6	✓ Not applicable please explain		0	0%
	otal		1	

Not applicable, please explain

9. Has your agency developed mandatory internal, staff-wide, formal training*, based on agency policies 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	✓ Yes		1	100%
2	✗ No		0	0%
3	✓ No pending inal approval		0	0%
4	✓ No under development		0	0%
5	✗ Do not know		0	0%
	otal		1	

10. 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%
	otal		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 (GLM) 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 (GLM, FOIA and Privacy). GLM also offers targeted live trainings on topics such as Information Asset Planning, Filing to Retrieve, email management and other topics 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
- Monitoring and testing of file plans
- Regular review of records inventories
- Internal tracking database of permanent record authorities and dates

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✓ No pending final approval		0	0%
4	✓ No under development		0	0%
5	✗ 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	✓ Yes		1	100%
2	✗ No		0	0%
3	✓ No pending final approval		0	0%
4	✓ No under development		0	0%
5	✗ 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? (36 CFR 1220.34(j)) **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 Inspector General		0	0%
3	<input checked="" type="checkbox"/> Yes evaluations are conducted by the Records Management Program AND the Office Inspector General		0	0%
4	<input checked="" type="checkbox"/> Yes evaluations are conducted by		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 Office and GLM team in coordination

No, please explain

-

15. How often does your agency conduct formal evaluations of a major component of your agency (i.e., programs or offices)?


#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Annually		1	100%
2	<input checked="" type="checkbox"/> Biennially		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	

16. Was a formal report written and subsequent plans of corrective action created and monitored for implementation as part of the most recent inspection/audit/review? (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes formal report was written		1	100%
2	<input checked="" type="checkbox"/> Yes plans of corrective action were created		1	100%
3	<input checked="" type="checkbox"/> Yes plans of corrective action were monitored or implementation		1	100%
4	<input checked="" type="checkbox"/> No		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%


17. 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 2018
- Developing computer-based records management training modules by the end of FY 2018
- Planning and piloting an electronic records management solution for email by the end of FY 2019
- 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	✓ Yes		1	100%
2	✗ No		0	0%
3	✓ Pending inal approval		0	0%
4	✓ Currently under development		0	0%
5	✗ Do not know		0	0%
	total		1	

18. 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	✓ Yes		1	100%
2	✗ No		0	0%
3	✓ Pending inal approval		0	0%
4	✓ Currently under development		0	0%
5	✗ Do not know		0	0%
	total		1	


19. 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		1	100%
2	✗ No		0	0%
3	✓ No pending inal approval		0	0%
4	✓ No under development		0	0%
5	✗ Do not know		0	0%
	total		1	


20. 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		1	100%
2	<input type="checkbox"/> No		0	0%
3	<input type="checkbox"/> Do not know		0	0%
	total		1	

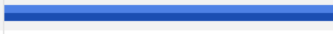
21. How often does your agency review and update its vital records inventory? (36 CFR 1223.14)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Annually		0	0%
2	<input checked="" type="checkbox"/> Biennially		0	0%
3	<input checked="" type="checkbox"/> Once every 3 years		1	100%
4	<input checked="" type="checkbox"/> Ad hoc		0	0%
5	<input type="checkbox"/> Never		0	0%
6	<input type="checkbox"/> Do not know		0	0%
	total		1	



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

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


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

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


24. 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				

25. How often does the FOIA program submit to agency leadership reports on such measures as pending requests and backlog?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Annually		0	0%
2	<input checked="" type="checkbox"/> Quarterly		0	0%
3	<input checked="" type="checkbox"/> Monthly		0	0%
4	<input checked="" type="checkbox"/> Weekly		0	0%
5	<input checked="" type="checkbox"/> Never		0	0%
6	<input checked="" type="checkbox"/> Other please explain		1	100%
	total		1	
Other, please explain				
The executive vice president of the organization that contains the FOIA program receives daily FOIA reports on pending requests and backlog. The vice president believes there is an issue that senior leadership should be advised of. Then the vice president makes the decision to inform agency senior leadership.				

26. Do your agency's employee performance work plans and appraisals include FOIA performance measures for non-FOIA professionals to ensure compliance with the requirements of FOIA? (Note: The 2016-2018 term of the Freedom of Information Act Advisory Committee endorsed inclusion of FOIA performance standards in Federal employee evaluations and work plans government-wide.)

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

27. Does your agency have procedures for preparing documents for posting on FOIA reading rooms? (Note: The FOIA Improvement Act of 2016 amended Section 3102 of the Federal Records Act, 44 U.S.C., to include a requirement that agencies establish "procedures for identifying records of general interest or use to the public that are appropriate for public disclosure, and for posting such records in a publicly accessible electronic format." This requirement is now included in 5 U.S.C. 552(a)(2).)

#	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	

28. Who is responsible for preparing the documents for posting? (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> FO A sta		1	100%
2	<input checked="" type="checkbox"/> Program sta		0	0%
3	<input checked="" type="checkbox"/> /web sta		0	0%
4	<input checked="" type="checkbox"/> Other please explain		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Other, please explain				

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

Text Response

30. When was the last time your agency submitted a records schedule to NARA for approval? (36 CFR 1225.10)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> FY 2017 - 2018		0	0%
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 2011 - 2012		0	0%
5	<input checked="" type="checkbox"/> FY 2010 or earlier		1	100%
6	<input checked="" type="checkbox"/> Do not know		0	0%
	total		1	

31. 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	✓ Yes		1	100%
2	✓ o some extent		0	0%
3	✗ No		0	0%
4	✗ Do not know		0	0%
total			1	

32. 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	✓ All records are easily retrievable and accessible when needed		0	0%
2	✓ Most records can be retrieved and accessed in a timely manner		1	100%
3	✓ Some records can be retrieved and accessed in a timely manner		0	0%
4	✗ No		0	0%
5	✗ Do not know		0	0%
total			1	

33. 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	

34. In addition to your agency's records management policies and records schedules, has your agency developed and implemented internal controls to ensure that all permanent records are created/captured, classified, filed and managed according to their NARA-approved records schedules? (36 CFR 1220.34(i))

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

35. Did your agency transfer permanent non-electronic records to NARA during FY 2018? (36 CFR 1235.12)

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✓ No - No records were eligible or transferred during FY 2018		0	0%
4	✓ No - New agency records are not yet old enough to transfer		0	0%
5	✓ No - My agency does not have any permanent non-electronic records		0	0%
6	✗ Do not know		0	0%
7	✗ Other please explain		0	0%
	total		1	

Other, please explain

36. Did your agency transfer permanent electronic records to NARA during FY 2018? (36 CFR 1235.12)

#	Answer	Bar	Response	%
1	✓ Yes		0	0%
2	✗ No		0	0%
3	✓ No - No electronic records/systems were eligible or transferred during FY 2018		1	100%
4	✓ No - New agency electronic records/systems are not old enough to transfer		0	0%
5	✓ No - My agency does not have any permanent electronic records		0	0%
6	✗ Do not know		0	0%
7	✗ Other please explain		0	0%
	total		1	

Other, please explain

37. 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	%
1	✓ Yes		0	0%
2	✓ Yes but not documented		1	100%
3	✗ No		0	0%
4	✗ Do not know		0	0%
5	✓ Not applicable please explain		0	0%
	total		1	

Not applicable, please explain

38. 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?

#	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	

39. Does your agency conduct and document for accountability purposes exit briefings for departing senior officials on the appropriate disposition of the 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

40. 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	

41. 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

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

Text Response

43. 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		0	0%
2	✔ o some extent		1	100%
3	✘ No		0	0%
4	✘ Do not know		0	0%
5	✔ Not applicable please explain		0	0%
	total		1	

Not applicable, please explain

44. 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	✔ No pending inal approval		0	0%
4	✔ No under development		0	0%
5	✘ Do not know		0	0%
	total		1	

45. 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		1	100%
2	✘ No please explain		0	0%
3	✘ Do not know		0	0%
	total		1	

No, please explain

46. 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	<div style="width: 100%;"></div>	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

47. 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"/> o some extent	<div style="width: 100%;"></div>	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

48. 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 o proposals or new systems	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> Participate as stakeholder in requirements gathering		0	0%
3	<input checked="" type="checkbox"/> Participate as stakeholder in the design phase		0	0%
4	<input checked="" type="checkbox"/> Participate as stakeholder in the development phase including testing the system		0	0%
5	<input checked="" type="checkbox"/> Provide sign o authority or the implementation o new systems		0	0%
6	<input checked="" type="checkbox"/> Monitor system or adherence to standards policies and procedures	<div style="width: 100%;"></div>	1	100%
7	<input checked="" type="checkbox"/> Provide in ormation only		0	0%
8	<input checked="" type="checkbox"/> Do not know		0	0%
9	<input checked="" type="checkbox"/> Other please explain	<div style="width: 100%;"></div>	1	100%

Other, please explain

he Agency Records O icer sits on the Agency Prioritization Steering Committee which reviews and approves all projects and expenditures As part o those reviews the Agency Records O icer speci cally addresses records and privacy requirements with project teams and sponsors

49. 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	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No pending inal 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	

50. Do the policies include requirements for preserving records until eligible for transfer to NARA?

#	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	

51. Does your agency have a process or strategy for managing permanent electronic records, and related metadata, in an electronic form?

#	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 inal 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	

52. Does your agency have documented and approved policies against unauthorized use, alteration, alienation or deletion of all electronic 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"/> No pending inal 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	

53. 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	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> o some extent		0	0%
3	<input checked="" type="checkbox"/> No		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
	total		1	

54. Does your agency use cloud services for any of the following? (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Email		0	0%
2	<input checked="" type="checkbox"/> Communication tools other than email (calendars messaging apps etc)		0	0%
3	<input checked="" type="checkbox"/> Administrative unctions such as payroll purchasing and inancial management		0	0%
4	<input checked="" type="checkbox"/> Mission/program-related unctions	<div style="width: 100%;"></div>	1	100%
5	<input checked="" type="checkbox"/> Customer Relationship Management		0	0%
6	<input checked="" type="checkbox"/> Case management		0	0%
7	<input checked="" type="checkbox"/> O ice tools/so tware		0	0%
8	<input checked="" type="checkbox"/> Streaming services		0	0%
9	<input checked="" type="checkbox"/> Other please explain		0	0%
10	<input checked="" type="checkbox"/> My agency does not use cloud services		0	0%
11	<input checked="" type="checkbox"/> Do not know		0	0%

Other, please explain

55. Does your agency have documented and approved policies for cloud service use that includes recordkeeping requirements and handling of Federal 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"/> No pending inal 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 my agency does not use cloud services		0	0%
	total		1	

56. Does your agency have documented and approved policies and procedures in place to manage 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

57. 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 Bulletin 2018-01: Format Guidance for the Transfer of Permanent Electronic Records – Appendix A: Tables of File Formats, Section 9 - Email? (36 CFR 1236.22(e))

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
	total		1	

58. Does your agency have documented and approved policies that address when employees have more than one agency-administered email account that states that email records must be preserved in an appropriate agency recordkeeping system? (36 CFR 1236.22) *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	✓ Yes		1	100%
2	✗ No		0	0%
3	✓ No pending inal approval		0	0%
4	✓ No under development		0	0%
5	✗ Do not know		0	0%
	total		1	

59. 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	✓ Yes		1	100%
2	✗ No		0	0%
3	✓ No pending inal approval		0	0%
4	✓ No under development		0	0%
5	✗ Do not know		0	0%
	total		1	

60. 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		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
	total		1	

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


#	Answer	Bar	Response	%
1	✗ Captured and stored in an email archiving system		1	100%
2	✗ Captured and stored in an electronic records management system		0	0%
3	✗ Captured and stored as personal storage table (PS) files		0	0%
4	✗ Print and file		0	0%
5	✗ Not captured and email is managed by the end-user in the native system		0	0%
6	✗ Other please be specific		0	0%

Other, please be specific


62. What percentage of your email systems are cloud-based solutions?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> 100%		0	0%
2	<input checked="" type="checkbox"/> 75%		0	0%
3	<input checked="" type="checkbox"/> 50%		0	0%
4	<input checked="" type="checkbox"/> 25%		0	0%
5	<input checked="" type="checkbox"/> Less than 25%		0	0%
6	<input checked="" type="checkbox"/> My agency does not use cloud services for email		1	100%
7	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

63. 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	

64. 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"/> Biennially		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	

65. 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	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No pending inal 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"/> Other please explain		0	0%
Total			1	

Other, please explain

66. In which of the following areas does your agency have challenges with managing permanent electronic records, and related metadata, in an electronic form? (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Email		0	0%
2	<input checked="" type="checkbox"/> Communication tools other than email (calendars messaging apps etc)		0	0%
3	<input checked="" type="checkbox"/> Administrative unctions such as payroll purchasing and inancial management		0	0%
4	<input checked="" type="checkbox"/> Mission/program-related unctions		0	0%
5	<input checked="" type="checkbox"/> Customer Relationship Management		0	0%
6	<input checked="" type="checkbox"/> Case management		0	0%
7	<input checked="" type="checkbox"/> O ice tools/so tware		0	0%
8	<input checked="" type="checkbox"/> Streaming services		0	0%
9	<input checked="" type="checkbox"/> Other please explain		0	0%
10	<input checked="" type="checkbox"/> My agency does not have challenges managing permanent electronic records and related metadata	<div style="width: 100%;"></div>	1	100%
11	<input checked="" type="checkbox"/> Do not know		0	0%

Other, please explain

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

Text Response

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

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

69. 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"/> FO A O icer		1	100%
5	<input checked="" type="checkbox"/> Information echnology sta		1	100%
6	<input checked="" type="checkbox"/> Records Liaison O icers or similar		0	0%
7	<input checked="" type="checkbox"/> Administrative sta		0	0%
8	<input checked="" type="checkbox"/> Other please be speci ic		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 and Governance Committee consisting of Senior Executives including Deputy Administrator, Chief Operating Officer, Executive VP or Compliance, Audit and Risk, and General Counsel and is approved by the SAORM.

70. 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	

71. Did your agency's senior management review and concur with your responses to the 2018 Records Management Self-Assessment?

#	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	

72. Please provide your contact information.

Name:	Agency, Bureau, or Office:	Job Title:	Email Address:	Phone Number:
	Bonneville Power Administration	CG Manager		

73. Are you the Agency Records Officer?

#	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%
	Total		1	

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

Name:	Email Address:	Phone Number:

75. 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	<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"/> Comments (Optional) (Please include in your comments how you use the Records Management Self Assessment)	<div style="width: 0%;"></div>	0	0%

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

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

Text Response

77. Q_URL

Value	Total
https://archives.qualtrics.com/jfe/form/SV_6JbFtEoKyZRZ7md?Q_R=R_OQnadMJ5pXDCNkB&Q_R_DEL=1	1

78. SSID

Value	Total

79. Score

Statistic	Value
Mean Score	92.00
Score Standard Deviation	0.00
Weighted Mean of Items	1.18
Weighted Standard Deviation of Items	1.42
Items	78.00