The OMB/NARA *Managing Government Records Directive* (M-12-18) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report to NARA. This report demonstrates how your organization is achieving the goals of the *Directive* and other important initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in meeting the goals of the *Directive* transitioning to electronic recordkeeping. Additionally, NARA uses the report for information sharing purposes to provide best practices and model solutions with Federal agencies.

The reporting period begins on January 8, 2018 and reports are due back to NARA no later than March 16, 2018.

NARA plans to post your 2017 SAORM report on the NARA website upon receipt. Please ensure that your agency's report is a publicly releasable version. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. NARA intends to list any non-responding agencies in a summary report and on the website.

Instructions for Reporting

- This template covers progress through December 31, 2017.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the questions/items below and send the report to PRMD@nara.gov. Include the words "SAORM annual report - [Agency Name] in the subject line of the email.
- If you are responsible for records management in multiple agencies, components, or bureaus, please determine how you will submit reports to NARA. While NARA prefers a comprehensive report, you may submit separate reports for each component.

Provide the following information (required):

- Kimberly D. Bose
- Secretary, Federal Energy Regulatory Commission
- 888 1st Street, NE, Washington, DC 20426
- 202-502-8645

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

   Federal Energy Regulatory Commission (FERC)

2. **Is your agency and its components making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

   ☐Yes
   ☐N o

   Please explain your response:

   - The majority of FERC permanent electronic records are already in electronic format in the FERC's on-line document repository called eLibrary, in SharePoint, or on the FERC's website. The online document repository for the FERC's filings and issuances is in a "refresh" state and records management functionalities will be incorporated. This 'to be' functionality will trigger reports identifying which records are due to be transferred to NARA.

   - FERC Capstone Approach proposal to NARA was approved February 15, 2017. Upon approval the FERC implemented its plan to permanently maintain the Chairman and Commissioner's emails as well as electronically transfer them to NARA for permanent preservation.

   - The FERC's approved Records Management Program Policy incorporating electronic records requirements ensures that permanent records are provided to NARA in a NARA-accepted format or that they are migrated to an acceptable format without loss of data or integrity.

   - Records scheduling efforts began in 2017 with priority emphasis on unscheduled papers records and permanent records. Most records are already being captured

in electronic format, so once the records are scheduled and approved by NARA, transfers may be made to NARA accordingly.

- Records Management staff have included permanent record retentions in office file plans as another method to ensure that permanent records are retained and transferred to NARA in accordance with approved records schedules and disposition instructions.

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

☑Yes
☐ N o

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

- The majority of the FERC permanent records created in hard copy or other analog formats have been digitized. All records FERC has on microfilm will be digitized now that the agency has acquired the proper imaging equipment to do so.

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

☑Yes
☐ N o

Please explain your response:

All of the FERC program offices are assigned Information Stewards which are the primary liaisons for communications with FERC staff regarding records management requirements and needs. Information Stewards have received records management training and are provided with a Records Management toolkit; such as office file plans, updated records schedules, records management responsibilities and other necessary guidance needed to assist FERC staff with their records management needs if any organizational changes were to be made.   In addition, if re-organizations are made to the

agency such as the reassignment of functions to an existing department or the elimination of offices, the records management staff is aware of the requirements to submit SF 115's for the gaining offices to NARA within one year of the reorganization and the responsibilities required to ensure that the re-assigned program office records are managed accordingly.

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

☐Yes
☐N o

Please explain your response

Strategic Direction – The SAORM has established an organizational roadmap which takes into account our information resources management activities, records management requirements and policies, and information resources management activities which improves FERC productivity, efficiency, effectiveness and compliance. Also, it identifies our overall aims, interests and the means of achieving them.

Support – Due to effective guidance from the SAORM, Agency heads and employees contribute to the FERC successful records management program by complying with records management statutes, regulations and NARA and OMB policies.

Resources - The Federal Energy Regulatory Commission (FERC) has three dedicated FTEs to develop and implement the Agency's records management strategy. In addition, the FERC has made an investment in two contractor resources to support the daily operations of the records program.

6. **Have you, as the SAORM, ensured that all incoming and outgoing senior officials* receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements.**

   *Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and

administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

☐Yes
☐N o

Please explain your response:

All incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements from the Office of General Counsel. The records management staff ensures that accurate and up to date regulations, records schedules, policies, plans, guidance and additional records management tools are available and disseminated for the briefings.

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

☐Yes
☐ N o

Please explain your response:

FERC has drafted a formal "Electronic Data Management Policy" which includes requirements and procedures for managing electronic data. This policy addresses the following criteria:
• Establishing formally approved email policies,
• Use of any automated systems for capturing email,
• Providing access / retrieval of email
• Establishing disposition practices for agency email (either destroy in agency or transfer to NARA), and
• Implementation of the Capstone approach for applicable agency email.
• Providing accountability and management of the electronic data received and created
• Managing FERC records in accordance to the FERC Comprehensive Records Disposition Schedules and the National Archives and Records Administration's (NARA) General Records Schedules.
This policy has been drafted, but not yet implemented within the FERC.

Furthermore, FERC plans to implement this policy by the end of Fiscal Year 2018.

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

N/A