NATIONAL ARCHIVES

OFFICE *of the* CHIEF RECORDS OFFICER

The National Archives and Records Administration (NARA) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report demonstrating how agencies are handling important records management initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in managing its records and the transition away from paper to digital formats and to identify best practices and model solutions within Federal agencies.

The reporting period begins on <u>March 11, 2019</u> with reports due back to NARA no later than <u>April 19, 2019</u>.

NARA plans to post your 2018 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, 2018.
- 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 rmselfassessment@nara.gov. Include the words "SAORM annual report - [Agency Name] in the subject line of the email.
- If you are responsible for records management in multiple agencies, components, or bureaus, please determine how you will submit reports to NARA. While NARA prefers a comprehensive report, you may submit separate reports for each component.

Provide the following information (required):

- Name of SAORM - Kimberly D. Bose
- Position title – Secretary of the Commission
- Address – 888 1st Street NE, Washington, DC 20426

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

    Please provide list: 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 agency permanent records are captured in an electronic format and are maintained in various on-line information systems; such as, eLibrary (information system), SharePoint, and on our external website. Our eLibrary information system, which is used to capture the Commission issuances and filings is in its final "stabilization" stage. Following this process, the incorporation of the required records management functionalities will commence. This effort will ensure compliance with NARA electronic recordkeeping requirements.

- FERC Capstone Approach proposal to NARA was re-approved on May 14, 2018. 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 managed accordingly and 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

textual formatted records. All permanent records are captured in an electronic format and the Commission successfully submitted three electronic / media neutral records schedules in 2018.

- Records Management staff have included permanent record series and retentions in all program 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.

- Implementation of the 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 electronic records in accordance to the FERC Comprehensive Records Disposition Schedules, the National Archives and Records Administration's General Records Schedules agency and NARA implemented records management requirements.

3. **Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its** *Criteria for Successfully Managing Permanent Electronic Records* **(March 2018)?**

☑ Yes
☐ N o

Please explain your response:

Permanent records created in hard copy or other analog formats have been digitized. All legacy records captured on microfilm and microfiche have been permanently withdrawn from storage (FY 19) and are being digitally converted. Records management have begun submitting Notifications for Previously Scheduled Permanent Records to NARA for all textual formatted permanent records.

4. **As included in the Administration's** *Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations* **(June 2018), NARA will**

no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:
Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

☑Yes
☐ N o

Please explain your response (include specific goals and example metrics):

- The Commission's Office of the Secretary, Office of General Counsel and the Chief Information Officer are presently drafting and revising public notices and policies regarding our digital transition and changes to our official document format availability (e-records), which are as follows:
  - Notice of Change In Official Document Availability
  - E-Signature Policy and Procedures
- Records Management successfully submitted a Capital Planning and Investment Control (CPIC) Request to develop and apply records management tools and functions to the eLibrary information system, which is required to successfully manage electronic records stored in the information system throughout their lifecycle. This effort will follow the final stabilization process of the modernization effort.

5. **Is your agency utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?**

☐ Y es
☑No

Please explain your response:

The Commission utilizes the effective internal resources (CIO, Information Security and Technology teams, Legal Counsel, etc.) provided and necessary to assist with the successful transition to an electronic environment.

6. **Have you, as the SAORM, established or improved your agency procedures that ensure 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
> ☐ Changes were unnecessary (click here for your agency's 2017 report)
> ☐ No, changes are being considered but have not been made
> ☐ No

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 the General Counsel. The records management staff ensures that accurate and up to date records management resources; such as, federal regulations, records schedules, policies, plans, guidance and additional records management tools are disseminated and available for the briefings.

Records Management has been moved from the Chief Information Office to the Office of the Secretary. The new SAORM was designated in 2018.

7. **Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See NARA Bulletin 2017-02: *Guidance on Senior Agency Officials for Records Management*)**

> ☐ Yes
> ☐ No

Please explain your response:

The previous responses reflects the SAORM identification and advocacy of the financial, personnel, and technological resources needed to ensure compliance of the Commission's records management functions, policies, decisions, procedures, and essential transactions of the agency.

The SAORM also oversees the records management division to ensure agency records are preserved and usable for as long as they are needed to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities.

8. **Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See NARA Bulletin 2017-01: *Agency Records Management Training Requirements*)**

    ☒Yes
    ☐ N o

    Please explain your response:

    Presently records management training is incorporated into the Annual IT Security and Privacy Awareness Training. Due to a reorganization of the records management division and the acquisition of a new Records Officer, records management is working to develop an independent training module to cover the requirements for records management and will develop plans to work with our human resources division to ensure all agency personnel with email accounts or IT network resource access complete training within sixty days of employment and facilitate annual refresher training.

9. **Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

    ☒Yes
    ☐No

    Please explain your response:

    The SAORM, designated in 2018, is taking the necessary steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented.

10. **Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?**

    ☐ Y es
    ☒No

    Please explain your response:

    The Commission utilizes the effective internal resources (CIO, Information Security and Technology teams, Legal Counsel, etc.) which are provided and necessary to assist with the successful transition to an electronic environment.