

Senior Agency Official for Records Management 2016 Annual Report



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*, including implementing proper email management and 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 9, 2017 and reports are due back to NARA no later than March 17, 2017.

NARA plans to post your 2016 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.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- 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" 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):

- Christina Handley
- Chief Information Officer
- 888 First Street, NE, Washington, DC 20426
- (202) 502-6500

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

Federal Energy Regulatory Commission

2. Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)

Yes

No

If No, please list and explain which part of your agency or components did not meet the deadline?

The Federal Energy Regulatory Commission (FERC) has drafted a formal “Electronic Data Management Policy” which includes requirements and procedures for managing email communications. This policy addresses the following criteria:

- *establishing formally approved email policies,*
- *use of any automated systems for capturing email,*
- *providing access / retrievability of your email,*
- *establishing disposition practices for agency email (either destroy in agency or transfer to NARA), and*
- *possible implementation of the Capstone approach for applicable agency email.*

This policy has been drafted, but not yet implemented within the FERC. Furthermore, NARA has approved our Capstone approach and retention requirements. FERC plans to implement this policy by December 31, 2017.

(Please note: Through a separate reporting request we will be asking your agency records officers to provide additional information regarding compliance with this target according to the email success criteria published by NARA in April 2016. [Criteria for Managing Email Records in Compliance with the Managing Government Records Directive \(M-12-18\)](#))

3. Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)

Yes

No

If No, please list which part of your agency or components did not and why?

4. Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)

Yes

No

If Yes, please describe this progress.

- The majority of Commission permanent electronic records are already captured in electronic format in an on-line document repository called eLibrary, or on the Commission's website. The on-line document repository is in a "refresh" state and records management functionality will be incorporated. This functionality will trigger reports identifying which records are due to be transferred to NARA.
- FERC submitted its Capstone Approach proposal to NARA on December 22, 2016. Upon approval the Commission will be able to implement a plan to permanently maintain the Chairman and Commissioner's emails as well as electronically transfer them to NARA for permanent preservation.
- The Commission's approved Records Management Program Policy incorporates electronic records requirements to ensure 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 will began in 2016 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 will include permanent record retentions in File Plans as another method to ensuring that permanent records are transferred to NARA in accordance with disposition instructions.

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

Yes

No

Please describe your specific plans or actions.

No action has been taken as of yet. The FERC plans to develop and implement plans to digitize permanent records.

6. Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)

Yes

No

If Yes, please describe what steps have been taken.

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 one contractor resource to support the daily operations of the records program. In addition, consideration of records management requirements is a key part of each project during the planning phase of the Systems Development Lifecycle (SDLC).