



## *Senior Agency Official for Records Management 2020 Annual Report*

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.

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

The reporting period begins on January 19, 2021, and reports are due back to NARA no later than March 19, 2021.

NARA plans to post your 2020 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- 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 [rmsselfassessment@nara.gov](mailto:rmsselfassessment@nara.gov). Include the words "SAORM 2020 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 1<sup>st</sup> Street, 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 provide a list, and also indicate any that are new or have been changed due to reorganization or other circumstances.*

Federal Energy Regulatory Commission (FERC)

**2. Has the COVID-19 pandemic changed any policies or practices related to records management at your agency?**

- Yes  
 No  
 Do not know

*Please explain your response (include details of specific challenges, if applicable):*

No policies or practices related to records management here at FERC has been changed due to the COVID-19 Pandemic. We have adapted to the current telework status and continue to achieve our mission.

**3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)**

- Yes  
 No  
 Do not know

*Please provide details on what support is needed:*

Our CUI Management Program involves the Protection of Sensitive Information and Records Management to develop standards and practices in the valuation, creation, storage, use, archival and destruction of information. Our Data Governance Division is responsible for ensuring data is available, reliable, consistent, accessible, secure, and timely to support the mission and activities of the Commission and perform the functions of the Chief Data Officer.

**4. Has your agency made progress towards managing all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

Yes

No

Do not know

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

- The agency permanent records are created and received in an electronic format and maintained in multiple electronic information systems; such as, eLibrary SharePoint, and on our external website.

Our electronic information systems, which are used to capture, maintain and preserve the Commission records throughout their lifecycle, meets the agency business needs and manages it's records accordingly.

- The Capstone Records Schedule was approved on May 14, 2018. Upon approval, the FERC implemented its plan to maintain the Chairman and Commissioner's emails for fifteen years after separation from the agency then transfer them to NARA for permanent preservation.

All other employee emails are maintained for ten years after separation from the agency then deleted.

- The Commissions approved Records Management Policy, which includes electronic records requirements ensures that permanent records are managed accordingly and provided to NARA in a NARA-accepted format or they are converted to an acceptable format without loss of data or integrity.
- Records Management incorporated permanent record series and records retention rules 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
- 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 Schedule, the National Archives and Records Administration's General Records Schedules and NARA implemented records management requirements.

**5. Has your agency made progress towards managing all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

Yes

No

Do not know

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

Yes, all of the agency temporary records are managed in an electronic format and are classified using the appropriate metadata such as:

- Identifiers (file name and record ID)
- Record Title
- Records Description
- Creator
- Creation Date
- Rights

A Records Management Support Services contract has been procured to ensure all temporary records created and received are managed in an electronic format by December 31, 2022

**6. Is your agency investing resources in IT to support the transition to electronic recordkeeping?**

Yes

No

Do not know

*Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.*

Yes, the FERC procured a multi-year, multi-million dollar contract in November 2020 to modernize our IT infrastructure including our electronic information systems and digitize all paper and other analog records to ensure all of our agency records are created, retained, and managed in electronic formats, with appropriate metadata.

**7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your agency have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)**

Yes

No

Do not know

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

No, the FERC has eliminated the use of commercial records storage facilities and utilizes the Federal Records Center for federal records storage needs.

**8. Does your agency have policies and procedures that include documentation to ensure records of newly appointed and outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

\*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

No

Do not know

*Please explain your response (include specific details of policies and procedures):*

The Office of General Counsel requires all outgoing senior officials to complete and sign a FERC Documentary Materials Removal/Non-Removal Certification, Non-Disclosure Agreement, and Notice of Post-Employment Restrictions Form as a part of the exit review procedure.

The certification entails the documentary materials that are eligible for removal, records that may not be removed and the penalties for the lawful removal of records and is approved by the Designated Agency Ethics Official.

**9. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

- Yes
- No
- Do not know

*Please explain your response (include details of specific challenges, if applicable):*

**10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?**

- Yes
- No
- Do not know

*Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions):*