

REQUEST FOR RECORDS DISPOSITION AUTHORITY		LEAVE BLANK (NARA use only)	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER NI-138-09-5	
1 FROM (Agency or establishment) Federal Energy Regulatory Commission 888 First Street, NE Washington, DC 20426		Date Received 8/31/09	
2 MAJOR SUB DIVISION Docketed Formal Case Files		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U S C 3303a, the disposition request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3 MINOR SUBDIVISION Electric Utilities / Applications and Adjustments			
4 NAME OF PERSON WITH WHOM TO CONFER Katherina Quijada-Cusack			
5 TELEPHONE 202-502-8748		DATE 08/31/09	ARCHIVIST OF THE UNITED STATES [Signature]
6 AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached ___1___ page(s) are not needed now for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE 07/28/2009	SIGNATURE OF AGENCY REPRESENTATIVE [Signature: Katherina Quijada-Cusack]		TITLE Records Management Officer
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	PLEASE SEE ATTACHED	NI-138-88-2 NI-138-09-1	

Background: The ID dockets and supporting forms were previously scheduled separately, even though the data collections are directly related to the application and its approval. The supporting forms are used by FERC staff to inquire and determine whether public or private interests will be adversely affected by the holding of these positions. In addition, due to the length of time some corporate officials hold high level positions, FERC has a business need to retain all of the supporting records for monitoring and oversight purposes for a longer period of time, rather than the short-term as previously thought.

The data is used to monitor what positions electric industry officers and directors hold in organizations that do business with each other, and allows the Commission to monitor and assess the possibility of an officer having a conflict of interest which harms public or private interests.

ID docket numbers are obtained by applying with the Commission (application submitted under Form 520) for approval to hold an interlocking position. Commission approval must be granted prior to holding certain interlocking positions.

The annual report (Form 561) allows the Commission to routinely review public utility officer and/or director interlocking positions, including those positions not requiring a Part 45 (Form 520 and informational report) application, but that still require oversight under the Federal Power Act, for any position of possible impropriety.

The report of utility's twenty largest purchasers (Form 566) is submitted by public utilities identifying its largest purchases of electric energy, measured in kilowatt hours sold, for purposes other than resale.

The notice of change is a supplemental filing that informs the Commission of an applicant's resignation, withdrawal, or failure of re-election in appointment, or any other material change.

Regulations/Statutes

18 CFR, Part 45

45.1 – 45.8 Application for Authority to Hold Interlocking Positions
45.5 Notice of Changes
45.9 Informational Report

18 CFR, Part 46

46.3 Form 566 – Report of Utility's 20 Largest Purchasers (FPA / 305 (c), PURPA)
46.4; 131.31 – FERC 561 – Annual Report of Interlocking Positions (FPA / 305 (c))

18 CFR, Part 131

131.31 – FERC 561 – Annual Report of Interlocking Positions

FERC RECORDS SCHEDULE III – DOCKETED FORMAL CASE FILES
PART I – ELECTRIC UTILITIES
Subpart A – Applications and Adjustments

2 Interlocking Positions Records (ID Dockets, Forms 520, 566, 561 or equivalent)

Records include applications for authority to hold interlocking positions (Form 520 or equivalent), notices of change, informational reports, largest purchaser reports (Form 566 or equivalent), interlocking positions reports (Form 561 or equivalent), related correspondence and Commission issuances.

TEMPORARY, Destroy when 25 years old