



*Senior Agency Official for Records Management
2017 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* 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):

- Name of SAORM **Vanessa Lamb**
- Position title **Acting Associate Managing Director**
- Address **445 12th Street SW, Washington, DC 20554**
- Office telephone number **(202) 418-7044**

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

Federal Communications Commission

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

No

Please explain your response:

The FCC is amending the Commission's records management directive to include policies and procedures to manage permanent electronic records electronically. In addition to amending the policies and procedures, the records management team will inform records custodians of the new requirement and share NARA Bulletins 2014-04 (Revised Format Guidance for the Transfer of Permanent Electronic Records) and 2015-04 (Metadata Guidance for the Transfer of Permanent Electronic Records). The team will continue working with the Commission's Information Technology staff to identify and evaluate system applications that improve our ability to capture, retain, retrieve and disposition Commission records as well as meet guidelines published by NARA.

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

No

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

In 2016, the FCC completed a pilot program to digitize licensing files previously maintained in hard copy in the Commission's Reference Information Center (RIC). Working with a contractor aligned with the AbilityOne program, hundreds of cartons of records were scanned and indexed. As a spinoff of the pilot program, a task order was issued through AbilityOne to continue digitization of both permanent and

temporary records during 2017. These digitization efforts continue to address Goal 1.1 and have resulted in a more efficient means of managing and accessing records while also reducing the office and storage space requirements for the Commission's new headquarters building which is scheduled to be occupied in 2020.

- 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

No

Please explain your response:

The Commission is in the process of creating reform plans that will result in re-organizations and possible eliminations of offices and/or functions. Specifically, the Commission voted to create the Office of Economics and Analytics. The proposed office will use existing staff resources by bringing into one office FCC economists, attorneys, and data professionals who work on economic analysis, data policy and management, and research. The agency will be eliminating the current Office of Strategic Planning and Policy Analysis and incorporating that team and other bureau and office staff into the new office. As the SAORM, I am working with the planning team to ensure existing records are preserved and dispositioned in accordance with retention schedules.

- 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

No

Please explain your response

I work closely with senior leadership to ensure the program has the strategic direction, support and resources it needs to be successful. As mentioned, the Commission will be relocating its headquarter offices during 2020 which will result in a significant reduction in our footprint. As a result of this reduction, senior leadership is evaluating our records management direction and resources necessary to archive inactive paper records currently onsite as well as requirements to transition to a paperless environment.

- 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

No

As the SAORM, I have 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. The agency records officer briefs incoming and outgoing senior officials of records management responsibilities and works closely with them to ensure records are preserved and managed in accordance with NARA approved records schedules. In addition, all incoming personnel including senior officials must complete both Records Management 101 and Email Records Management training courses.

- 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

No

Please explain your response:

As SAORM, my staff and I work closely with the staff of the FCC's CIO to ensure that records management is a significant factor in IRM planning, implementation, and maintenance. In tandem with FCC IT, we develop workflow processes and procedures to manage email records electronically; make those records available to meet response requirements for FOIA, Congressional, and litigation purposes; and ensure compliance with retention, disposition, and accessioning schedules. Training regarding employee records management responsibilities is required of all new staff members and refresher training is made available to all employees.

- 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)**

None at this time.