



## *Senior Agency Official for Records Management 2018 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.

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

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](mailto: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 - Vanessa Lamb
- Position title – Acting Associate Managing Director
- Address – 445-12<sup>th</sup> Street, SW Washington, DC 20554

- 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 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 2018-01 (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 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  
 No

*Please explain your response:*

The FCC expects to have a plan of action by the end of fiscal year 2019. The plan will incorporate the criteria and requirements published by NARA.

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  
 No

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

To assist with complying with this deadline, the FCC is currently identifying all paper-based processes and exploring possible solutions to creating a fully electronic environment.

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

- Yes  
 No

*Please explain your response:*

The FCC is currently using AbilityOne to procure document control and conversion support services to assist with transitioning to an Electronic Environment and is required to use a mandatory source for these services in accordance with FAR Clause 52-208-9, Contractor Use of Mandatory Sources of Supply or Services.

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:*

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. 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:*

I work closely with senior leadership to ensure the program has the strategic direction, support and resources it needs to be successful. In fact, during this reporting period we were funded to digitize and archive a significant number of records to prepare for relocating our headquarters offices in 2020.

**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

No

*Please explain your response:*

Currently, we use an agency-customized version of the Federal Records Officer Network (FRON) Records Management 101 and Email Records Management courses for agency training purposes. However, we are having discussions with our Chief Learning Officer about developing role-based training for employees, contractors, senior executives and appointees. We are hoping to have a proposed implementation timeline in place before the end of FY 19.

**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:*

While we have not implemented a formal evaluation/auditing program, informal evaluations of our records management program are performed continuously. We routinely look for compliance with applicable records management laws and regulations and try to identify more efficient and effective ways to improve our program.

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

- Yes  
 No

*Please explain your response:*