



Senior Agency Official for Records Management 2019 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 13, 2020, with reports due back to NARA no later than March 13, 2020.

NARA plans to post your 2019 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 records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- 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. Include the words "SAORM 2019 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):

- Vanessa Lamb
- Supervisory Program Analyst, Acting SAORM
- FCC, 445 12th 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.**

The Federal Communications Commission provides a single, consolidated report for its 17 bureaus and offices.

- 2. Is your agency managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

- Yes
 No

We currently have a small inventory of permanent electronic records which are all managed electronically and will be sent to the National Archives in an electronic format.

- 3. 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

The FCC has made progress towards managing all permanent records in electronic format. We are currently identifying all records that are not managed electronically and will work with bureaus and offices to determine how to transition to an electronic environment for both our permanent and temporary records before the December 31, 2022 deadline.

4. Has your agency made progress towards managing all temporary records in electronic format? (M-19-21, 1.3)

- Yes
 No

The FCC has made progress towards managing all temporary records in electronic format. We are currently identifying all records that are not managed electronically and will work with bureaus and offices to determine how to transition to an electronic environment for both our permanent and temporary records before the December 31, 2022 deadline.

5. Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)

- Yes
 No

As the acting SAORM, I have taken steps to ensure that FCC's records management program complies with the Federal Records Act and its regulations. I ensure that the program is led by a NARA-certified ARO overseeing a team of NARA-certified records management specialists. The team assists all agency personnel with records management responsibilities. Collectively, we ensure that training, agency guidance, directives, policies and procedures are shared commission-wide. During our clean-up efforts for the upcoming move, we are confirming records are covered by a NARA-approved schedule and where gaps are identified, taking steps to get them scheduled. Additionally, if we have found records that have met their retention period, we are taking steps to transfer them to the National Archives or destroy in accordance with record schedules. We are also working with bureaus and offices to update schedules to address business practices that have significantly changed. In addition to these steps, I am committed to creating a written records management strategic plan detailing performance goals, objectives and measures by the end of the FY.

6. If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)

- Yes
 No

Not applicable

7. Does your agency have procedures that include documentation to ensure records of 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

The agency's Human Resources Management department uses an electronic onboarding/exiting system to manage outgoing personnel. This system sends out emails to the records management team to notify them of outgoing employees. The ARO uses a standard checklist to process all outgoing employees and also meets with senior officials to ensure understanding and compliance with our outgoing policies and procedures.

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

Yes

No

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

Yes

No