



***Senior Agency Official for Records Management
Federal Trade Commission 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: Valerie Green
- Position title: Chief, Office of Administrative Services
- Address: 600 Pennsylvania Ave., NW, Washington, D.C., 20580
- Office telephone number: 202-326-2901

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

Please provide list

All Bureaus and Offices of the Federal Trade 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 agency incorporated in its 2018-2021 Strategic Plan a performance goal for the percentage of permanent records that are management electronically. The agency has identified electronic copies of permanent records that are eligible for transfer to the National Archives in FY18 and in subsequent years.

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.

FTC continues to identify permanent records in all formats and the costs/benefits of digitizing permanent records created in hard copy format and no longer needed for agency business.

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?**

X Yes
 No

Please explain your response:

Records management is considered throughout the agency as reforms are proposed and implemented.

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>):

X Yes
 No

Please explain your response:

FTC has a designated SAORM who has agency-wide responsibility for records management.

FTC creates and maintains records for the adequate and proper documentation of the agency mission, policy, and administrative lines of business and for the documentation of agency decision-making. The FTC Records and Information Management (RIM) program provides agency lines of business with RIM advice, guidance, and training.

FTC manages permanent electronic records electronically on FTC shared network drives and in other FTC systems for eventual transfer and accessioning by NARA in an electronic format. FTC manages email records, temporary and permanent, on shared network drives. Authorized FTC staff and contractors are able to access, search, and retrieve records for as long as needed to conduct agency business.

The FTC has a NARA-approved comprehensive media-neutral records disposition schedule (N1-122-09-1) for mission and policy records, and is applying the NARA GRS for administrative records.

The FTC is implementing the disposition of its Federal records in accordance with its NARA-approved records schedule and the NARA GRS.

FTC conducts mandatory annual information security and privacy training for all staff and all contractors with network access. The training includes records management.

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

Please explain your response:

In 2017, the Chair of the agency changed, and the FTC's records officer provided records disposition advice and guidance to the departing chair and staff, as well as records management advice and guidance to the incoming chair and staff. The records officer collaborated with the agency's litigation hold and FOIA officials on instructions for the placement and maintenance of information management holds.

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: The Office of the Chief Information Officer (OCIO) did not include records management requirements in its IRM Plan; this has been identified as a risk.

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 identified as this time.