

**NATIONAL CAPITAL PLANNING COMMISSION
Senior Agency Official Records Management
2020 Annual Report**

- Name of SAORM: **Debra L. Dickson**
- Position title: **Director, Office of Administration**
- Address: **401 9th Street, Suite 500, Washington, DC 20004**

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

National Capital Planning Commission

2. **Has the COVID-19 pandemic changed any policies or practices related to records management at your agency?**

- Yes
 No
 Do not know

The National Capital Planning Commission’s permanent and temporary records are now maintained electronically. During the pandemic, the NCPC was delayed in transferring the last remaining paper records to NARA. No specific changes to records management policies or practices were required.

3. **Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)**

- Yes
 No
 Do not know

The NCPC is a micro-agency with a staff of 35 full time employees; as such, the agency has not implemented a formal information governance framework. However, given the size of the agency, records and data management are integrated into daily work and program operations.

4. 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
 Do not know

In early 2019, the NCPC began a digitization project to scan and categorize any files that have met the criteria for a permanent record. By December 31, 2022, all permanent records will be managed in an electronic format.

5. Has your agency made progress towards managing all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)

Yes
 No
 Do not know

In early 2019 the NCPC began a digitization project to scan and categorize any files that have met the criteria for a permanent record. By December 31, 2022, all temporary records will be managed in an electronic format.

6. Is your agency investing resources in IT to support the transition to electronic recordkeeping?

Yes
 No
 Do not know

The NCPC's program files are managed in an agency electronic recordkeeping system called the "Central Files Information System" whereas all permanent records are compiled, appropriately labeled, categorized, and filed in accordance with the NCPC's records disposition schedule.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your agency have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

Yes
 No
 Do not know

The NCPC does not have an agency-operated records centers.

8. **Does your agency have policies and procedures that include documentation to ensure records of newly appointed and 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
 Do not know

The NCPC is a small independent agency with 35 full time employees. The NCPC's senior officials' program-related files are managed in an agency electronic recordkeeping system called the "Central Files Information System" whereas all permanent records are compiled, appropriately labeled, categorized, and filed in accordance with the NCPC's records disposition schedule. Email for newly appointed and outgoing officials are maintained and archived as appropriate.

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

- Yes
 No
 Do not know

At present, there are no foreseen challenges to meeting the goal of fully-electronic recordkeeping. In early 2019, the NCPC began a digitization project to scan and categorize temporary and permanent records. By December 31, 2022, all temporary records will be managed in an electronic format.

10. **Do you have suggestions for NARA to improve its engagement with you as the SAORM?**

- Yes
 No
 Do not know

Currently, there are no suggestions for NARA to improve its engagement with the NCPC.