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*, including implementing proper email management and 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 9, 2017 and reports are due back to NARA no later than March 17, 2017.

NARA plans to post your 2016 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.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- 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" 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 **Walt Boswell**

- Position title **Associate Managing Director**

- Address **445 12th Street SW, Washington, DC 20554**

- Office telephone number **(202) 418-2178**

- Email

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

   Federal Communications Commission

2. **Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)**

   ☒Yes
   ☐No

   If No, please list and explain which part of your agency or components did not meet the deadline?

   (Please note: Through a separate reporting request we will be asking your agency records officers to provide additional information regarding compliance with this target according to the email success criteria published by NARA in April 2016. *Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18*)

3. **Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)**

   ☒Yes
   ☐No

   If No, please list which part of your agency or components did not and why?

4. **Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)**

    ☒Yes
    ☐No

    If Yes, please describe this progress.
    If No, please list which part of your agency or components did not and why?

    The FCC is amending the Commission's records management directive to include policies and procedures to manage permanent electronic records electronically. Our records management team is working with the Commission's Information Technology staff to identify and evaluate systems to improve the capture, retention, retrieval, and disposition of Commission records and to ensure that all FCC permanent records transferred to the National Archives meet NARA's guidelines as expressed in 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 FCC's records management staff is also taking steps to ensure that schedules for permanent records accurately reflect their existence in electronic format.

5. **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 describe your specific plans or actions.

    In 2016, the FCC completed a pilot program to digitize International Bureau licensing files previously maintained in hard copy in the Commission's Reference Information Center (RIC). Working with a contractor aligned with the AbilityOne program (providing employment opportunities for people with severe disabilities), hundreds of cartons of records were scanned and indexed. The lessons learned from the pilot program helped to inform processes for future scanning efforts. A task order was issued through AbilityOne to complete digitization of the RIC as well as other file areas within the agency where Federal records exist. These digitization efforts will not only address Goal 1.1 and provide a more efficient means of managing and accessing records, they will reduce the office and storage space requirements for the

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Commission's new headquarters building which is scheduled to be occupied before the end of this decade.

6. **Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)**

☒Yes
☐No

If Yes, please describe what steps have been taken.

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. We assist FCC IT in reviewing and selecting software and systems that store, manage, and retrieve the Commission's Federal records. 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.