



Federal Trade Commission (FTC) Senior Agency Official for Records Management 2016 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*, 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 Jeffrey Nakrin
- Position title Director, Records and Filings Office
Office of the Executive Director
Federal Trade Commission
- Address 600 Pennsylvania Ave., NW, Washington, D.C., 20580
Attn.: CC-5422
- Office telephone number 202-326-2314
- Email

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

All Bureaus and Offices of the Federal Trade 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.

FTC has taken the following actions:

- *Continued to analyze agency systems and shared network drives to identify permanent electronic records, scheduled in the FTC NARA-approved comprehensive media-neutral records disposition schedule (N1-122-09-1).*
- *Continued to evaluate the digitization of permanent records for eventual transfer to NARA in electronic format.*
- *Continued to work with Designated File Management Officials (DFMOs) for each Bureau and Office to support the management and access/retrievability of information on shared drives. This includes developing file structures and naming conventions for folders and sub-folders to facilitate the maintenance, identification, and transfer of permanent electronic records.*
- *Continued to develop and implement disposition procedures and guidance for staff on the management of FTC records, including permanent electronic records. Permanent electronic records will be transferred to NARA in accordance with the NARA-approved FTC Records Disposition Schedule (N1-122-09-1).*

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

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.

FTC continues to identify permanent records in all formats and to evaluate the digitization of permanent records created in hard copy format.

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.

FTC has a designated SAORM who has overall 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 all 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.

In order to ensure that FTC records are treated as information resources, the agency Records Officer is an ex officio member of the FTC Information Technology (IT) Business Council.

The FTC has a NARA-approved comprehensive media-neutral records disposition schedule (NI-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.