

- **Name of SAORM:** Debra L. Dickson
- **Position title:** Administrative Officer & Director, Office of Administration
- **Address:** 410 9<sup>th</sup> Street, NW, Suite 500, Washington, DC 20004
- **Office telephone:** 202.482.7229

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

National Capital Planning Commission (NCPC)

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

In 2015, the NCPC solicited quotes and in 2016 awarded a contract to assist in the agency's effort to comply with OMB and NARA's Managing Government Records Directive (M-12-18); the work is still ongoing.

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

Since awarding a contract in 2016 to implement an Electronics Records Management System, the agency staff along with the assistance of the contracted vendor have been working to meet the mandated goal of managing all permanent records in electronic format by December 31, 2019. The agency has made significant efforts in training staff to retain permanent files in a digital format for final retention.

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?**

- Yes  
 No

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>)

- Yes  
 No

Yes, steps have been taken to ensure that the NCPC's Records Management Program has the strategic direction, support, and resources needed to be successful. For example, the agency has been proactive in successfully adhering to the requirements noted in Office of Management and Budget's (OMB) Circular A-130, specifically at it pertains to records management. Most requirements listed in OMB Circular A-130, Section 5h are already in place or will be implemented on or before December 31, 2019.

**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

The NCPC is a very small agency with less than 40 full time employees and very little turn-over in staff (i.e. incoming and outgoing). Nevertheless, the agency's leaders are informed of their responsibility to ensure proper record keeping and records management to include the use and management of personal email.

**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

As already noted, the agency has been proactive in successfully adhering to the requirements noted in Office of Management and Budget's (OMB) Circular A-130, specifically at it pertains to records management. Most requirements listed in OMB Circular A-130, Section 5h are already in place or will be implemented on or before December 31, 2019.

**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)**

The policies and guidance provided thus far have sufficiently aided the National Capital Planning Commission's transition to fully implementing its electronic management recording keeping strategy.