- Name of SAORM   Debra L. Dickson
- Position title   Administrative Officer & Director, Office of Administration
- Address   401 9th Street, NW, 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? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

   Please provide list:
   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

   Please explain your response:

3. **Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its *Criteria for Successfully Managing Permanent Electronic Records* (March 2018)?**

   ☒ Yes
   ☐ No

   Please explain your response:

4. **As included in the Administration's *Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations* (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

   The Reform Plan states:
   Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

[X] Yes

☐ No

Please explain your response (include specific goals and example metrics):

5. **Is your agency utilizing General Service Administration's Schedule 36 to procure solutions to assist in transitioning to an Electronic Environment?**

    ☐ Yes

    [X] No

Please explain your response: The NCPC has an internal electronic records management program that has been managed by the IT team and other program staff.

6. **Have you, as the SAORM, established or improved your agency procedures that ensure 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.

    [X] Yes

    ☐ Changes were unnecessary

    ☐ No, changes are being considered but have not been made

    ☐ No

Please explain your response: All new personnel are briefed on their records management responsibilities.

7. **Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See NARA Bulletin 2017-02: *Guidance on Senior Agency Officials for Records Management*)**

    [X] Yes

    ☐ No

Please explain your response:

8. **Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See NARA Bulletin 2017-01: *Agency Records Management Training Requirements*)**

      ☒ Yes
      ☐ No

Please explain your response: The NCPC is a small independent agency with less than 40 full time employees, as such, the NCPC relies on NARA-conducted training for staff employees with dedicated records management roles. However, all agency staff are provided ongoing internal records management briefings and updates facilitated by records management staff.

9. **Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

      ☒ Yes
      ☐ No

Please explain your response:

10. **Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?**

      ☐ Yes
      ☒ No

Please explain your response:

The policies and guidance provided by NARA thus far, have sufficiently aided the National Capital Planning Commission's transition to, and implementation of, its electronic record-keeping strategy.