



*Senior Agency Official for Records Management  
2018 Annual Report*

The National Archives and Records Administration (NARA) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report demonstrating how agencies are handling important records management initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in managing its records and the transition away from paper to digital formats and to identify best practices and model solutions within Federal agencies.

The reporting period begins on March 11, 2019 with reports due back to NARA no later than April 19, 2019.

NARA plans to post your 2018 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. NARA intends to list any non-responding agencies in a summary report and on the website.

#### Instructions for Reporting

- This template covers progress through December 31, 2018.
- 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 [rmsselfassessment@nara.gov](mailto:rmsselfassessment@nara.gov). Include the words "SAORM annual report - [Agency Name]" 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 **Gregory T. Goldstein**
- Position title **Chief Operating Officer**
- Address **250 E Street SW, Washington, DC 20427**

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:* **Federal Mediation and Conciliation Service (FMCS)**

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:*

**FMCS is making significant progress to manage all permanent records in an electronic format by December 31, 2019. We are currently working with our Electronic Records Management (ERM) contractor to manage and schedule records using taxonomies, naming conventions and metadata.**

**FMCS plans to digitize existing paper records using Microsoft Office 365 into a Share point online portal. FMCS identified all permanent records for transfer to NARA and we continue to work with our Appraisal Archivist David Weber on this initiative.**

**FMCS has adopted the use of the capstone approach to manage electronic email using our current ERM vehicle.**

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:*

FMCS has taken the necessary steps to align NARA requirements using our ERM vehicle to manage permanent electronic records.

We are implementing policy and procedures pertaining to records management and scheduling records, which are the critical elements in support of the Agency's mission.

We currently have a Records & Information Management Manual (RIMM) and a Records Information Management Directive (RIM) to help facilitate our program. FMCS is implementing Capstone for senior leadership's email and 7-year archives for all other employees. FMCS is also implementing Controlled Unclassified Documentation (CUI) requirement with current personnel supported by contractor staff.

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.*

Yes, FMCS is on schedule to meet this requirement. FMCS activities include converting all paper records into an electronic format and fully automate electronic records management through SharePoint software as a file repository. In addition, FMCS continues to evaluate all business units to identify, preserve and make accessible permanent, historically valuable records.

The FMCS Records Officer and NARA consultant conducted interviews to ensure that proper FMCS business units are identifying and maintaining records that adequately and properly document the organization, functions, policies and procedures to comply with NARA requirements.

Yes

No

*Please explain your response (include specific goals and example metrics): Our agency is preparing to transition all paper into an electronic document by scanning the current paper and sending the rest over to NARA by mid-May.*

5. Is your agency utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

Yes  
 No

*Please explain your response:*

**FMCS procured an information architecture solution which fully automates existing paper records into an electronic document by scanning and digitalization to include categorization, naming conventions and taxonomy.**

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.

Yes  
 Changes were unnecessary (click [here](#) for your agency's 2017 report)  
 No, changes are being considered but have not been made  
 No

*Please explain your response:*

**I was designated as the Senior Agency Official for Records Management (SAROM) in October 2019. As the SAORM, I have established internal controls for our agency and our Records Officer established training for agency employees on roles and responsibilities for records management. In addition, we have established training for our Senior Staff and Political Appointees to build their awareness concerning the importance of records management.**

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](#))

Yes  
 No

*Please explain your response:*

**FMCS has a dedicated Records Officer responsible for coordinating and overseeing our records management program. FMCS has established policies and procedures and updated our disposition authority and file plans. We regularly meet with our NARA consultant to ensure we are in compliance with NARA's requirements.**

**We have Internal Controls in place along with our Records Information Management Manual, Updated Records Information Directive, and our Records Management Strategic Performance Goals Plans. FMCS worked closely with our NARA consultant Shanea Gonzalez on a regular basis to make certain all records schedules are properly implemented and FMCS complies with NARA requirements.**

- 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:*

**Our Records Officer developed the following training programs that cover recordkeeping responsibilities:**

- **Records and Information Management Orientation Brief**
- **File Plan Training**
- **Roles and Responsibilities training for RLO's**
- **Role and Responsibilities training for Managers and Supervisors**
- **Senior Official Training**

- 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:*

**FMCS is implementing an internal controls program that includes an Agency policy, strategic performance goals and RIM Manual. The Records Management Officer is a member of the FMCS Internal Control committee ensuring all required documents are identified, maintained and disposed of correctly. FMCS updated**

**retention schedules to include current work processes. We also incorporated various training for staff, senior managers and Political Appointees.**

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

Yes

No

*Please explain your response:*

**FMCS will continue to work with NARA's consultant services and work closely with our Appraisal Archivist to ensure successful transition to electronic recordkeeping.**