



Senior Agency Official for Records Management 2019 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.

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

The reporting period begins on January 13, 2020, with reports due back to NARA no later than March 13, 2020.

NARA plans to post your 2019 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 records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- 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. Include the words "SAORM 2019 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 managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

X ☐ Yes

☐ No

Please explain your response:

FMCS have made significant progress to manage all permanent records in an electronic format meeting the established deadline by December 31, 2019. More specifically, we scanned and digitized the records of all political appointed positions, including the agency Director from the previous administration. These records were electronically transferred to the National Archives.

FMCS currently uses various electronic systems to manage our records. Our CCMS-3 system manages and electronically process our F-7 notices and we recently converted our e-Rooms environment into SharePoint.

In addition, we implemented a third-party tool, i.e., Gimmel, which will manage all FMCS records using Share Point and Office 365. We also adopted Capstone to manage our emails electronically based on the retention for email management.

3. **Has your agency made progress towards managing all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

X ☐ Yes
☐ No

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

FMCS is using a third-party tool to manage our permanent records into an electronic format using the appropriate metadata.

We have setup content types which have metadata columns for all the File Plans. We have rolled out Office 365/SharePoint to the various departments and we are using those content types within their respective document libraries.

4. Has your agency made progress towards managing all temporary records in electronic format? (M-19-21, 1.3)

X ☐ Yes
☐ No

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

FMCS is managing all temporary records in an electric format using an electric record keeping tool.

5. Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)

X ☐ Yes
☐ No

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

FMCS has implemented various vehicles to ensure our records management program aligns with the Federal Records Act. More importantly, our agency has put milestones in place to keep us in compliance with policies and procedures.

6. If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)

X ☐ Yes

☐ No

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

We have identified all agency-operated records centers and is working closely with NARA to have them closed by the deadline.

7. Does your agency have procedures that include documentation to ensure records of outgoing senior officials* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?

*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

Please explain your response (include specific details of procedures):

As the Senior Agency Official for Records Management (SAROM), I will continue to establish internal controls and work closely with the Records Officer to ensure records are intact and not deleted, altered or removed.

Our agency has developed training to include the roles and responsibilities for senior management and political appointees. The goal of this training is to educate them on the importance of records management.

All emails for Political Appointees are under our capstone email policy.

8. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully electronic recordkeeping?

☒ Yes

☐ No

Please explain your response (include details of specific challenges, if applicable):

FMCS by law, has one activity that collects paper records. These paper records are known as an "F-7". An F-7 is the form name for which either management or unions

notify FMCS that they are planning renegotiating collective bargaining agreements. Once FMCS receives paper copies we digitize and store electronically.

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

☒ Yes

☐ No

Please provide details on what support is needed:

Our Records Officer is in close contact with our Appraisal Archivist to ensure successful transition to electronic recordkeeping. We work closely with our contractor using third party tools to help support our efforts.

The Records Officer is part of NARA's Office 365 working group in which various agencies collaborate and share ideas on effective electronic recordkeeping efforts.