



Senior Agency Official for Records Management FY 2015 Annual Report

The *Managing Government Records Directive (M-12-18)* requires Senior Agency Officials (SAOs) for Records Management 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 November 16, 2015, and reports are due back to NARA no later than COB January 29, 2016.

Please note that NARA will post a version of your 2015 SAO report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. Please let us know whether there is a specific justification as to why your report cannot be publicly shared (in whole or in part).

Instructions for Reporting

- This template covers progress through fiscal year (FY) 2015.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the eight questions/items on the following pages and send the report to prmd@nara.gov. Include the words “SAO annual report” and your agency’s 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 SAO: **John Arnold**
Position title: **FMCS Director of Public Affairs**
Address: **2100 K Street NW, Washington, DC 20427**
Office telephone number: **(202) 606-8100**

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

Please list them below:

The Federal Mediation and Conciliation Service (FMCS) headquarters and field offices

2. Is your agency going to meet the *Directive* goal to manage all email records in an accessible electronic format by December 31, 2016? (*Directive Goal 1.2*)

XX **Yes** **No**

2a) *Provide a list of actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- *establishing formally approved email policies,*
- *use of any automated systems for capturing email, providing access / retrievability of your email,*
- *establishing disposition practices for agency email*
- *possible implementation of the Capstone approach for applicable agency email.*

In fiscal year 2015, the FMCS updated its Agency directives to include a specific directive on information technology and the proper use of email, including language prohibiting the use of personal email for official business and providing instructions for capturing any inadvertent use of a personal account into the Agency email system in accordance with NARA guidance.

In fiscal 2015, the Agency circulated a NARA guidance memo on the proper use of email to the Agency’s senior leadership.

FMCS currently has technology in place for the automatic capture of FMCS emails.

Under an inter-agency agreement with NARA, the FMCS is consulting with NARA on the implementation of the CAPSTONE approach to the retrieval and retention of FMCS email records.

2b) *Provide a list of the actions your agency, components, or bureaus plan to take in 2016 to meet this goal.*

In FY 2016, the FMCS will establish a set of best practices and conduct training for all Agency leaders in email records and retention. Under an inter-agency agreement with NARA, the FMCS will continue to consult with NARA on implementation of CAPSTONE approach for capturing and retaining email records. The FMCS is archiving Agency emails and will work in the coming year with NARA to correct deficiencies identified in the 2015 “gap analysis” conducted by NARA representatives. The FMCS has renewed the interagency agreement with NARA and will continue to work with NARA representatives to meet record-keeping requirements.

3. Has your agency taken actions to implement the 2014 amendments to the *Federal Records Act* requiring Federal employees to copy or forward electronic messages (including email, texts, chats, and instant messaging) that are federal records from their non-official accounts to official accounts within 20 days?

XX Yes No

Please provide a brief description of the actions taken, such as establishing policies and providing training.

In fiscal year 2015, the FMCS updated its Agency directives to include a specific directive on information technology and the proper use of email, including language prohibiting the use of personal email for official business and providing instructions for capturing any inadvertent use of a personal account into the Agency email system in accordance with NARA guidance.

In fiscal 2015, the Agency circulated a NARA guidance memo on the proper use of email to the Agency’s senior leadership.

4. Describe your agency's internal controls for managing electronic messages (including email, texts, chats, and instant messaging) of the agency head and other executives (including appropriate advisers, and other senior management staff).

In fiscal year 2015, the FMCS updated its Agency directives to include a specific directive on information technology and the proper use of email, including language prohibiting the use of personal email for official business and providing instructions for capturing any inadvertent use of a personal account into the Agency email system in accordance with NARA guidance.

In fiscal 2015, the Agency circulated a NARA guidance memo on the proper use of email to the Agency's senior leadership.

In FY 2016, the FMCS is working with NARA under an interagency agreement to institute "best practices" agency-wide in capturing and managing electronic messages.

5. Is your agency going to meet the *Directive* goal to submit records schedules to NARA for all existing paper and other non-electronic records by December 31, 2016? (*Directive Goal 2.5*)

XX Yes

No

5a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal.*

In fiscal 2015, the FMCS conducted records management training for its field and national offices and worked with NARA representatives under an interagency agreement for the conduct of a "gap analysis" of FMCS records management practices as compared to NARA requirements.

The FMCS is executing an agreement with NARA for assistance in correcting deficiencies in record keeping identified in the NARA gap analysis and to bring the FMCS into further compliance.

5b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

The FMCS will work with NARA representatives under an interagency agreement in FY 2016 for implementation of this directive. (The FMCS is executing an interagency agreement with NARA for compliance assistance.)

6. Is your agency going to meet the *Directive* goal to manage all permanent electronic records in an electronic format by December 31, 2019? (*Directive Goal 1.1*)

XX Yes No

6a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- *establishing formally approved electronic records policies,*
- *(use of any automated systems for capturing electronic records,*
- *providing access / retrievability of your electronic records, and*
- *establishing disposition practices for agency electronic records.*

The FMCS currently has a draft records retention and management directive for all Agency personnel under review and is planning to acquire and implement an electronic document management system that will be operational in 2017.

Under an interagency agreement with NARA, the FMCS is working with NARA representatives on compliance and is currently on schedule for compliance with this directive.

6b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

The FMCS plans to renew and continue an interagency consulting agreement with NARA beyond 2016 for compliance assistance with this directive. Under the interagency agreement, the FMCS will consult weekly with NARA representatives. With NARA assistance, the FMCS is developing a plan for the capture of all electronic records and is addressing records storage requirements with NARA assistance.

7. Please provide any insight to your agency's efforts to implement the *Managing Government Records Directive* and the transition to a digital government.

Provide a brief description, including any positive or negative outcomes, challenges, and other obstacles.

The FMCS has been grateful for the assistance that archivist Jim Cassedy and other NARA representatives have provided in assessing FMCS records management needs and assisting in a program of improvement.

However, the FMCS believes that current statutes and the enormous number of NARA regulations and guidances impose a nearly impossible burden on small agencies, such as the FMCS, which have limited financial resources and staff time.

In addition, with budgetary uncertainty dating back to 2012 and with the implementation of sequestration in FY 2013, reduced Agency appropriations have handicapped the ability of FMCS to plan, finance and earmark internal resources for the necessary records management infrastructure, training and staff time.

Nonetheless, FMCS records management is on track for compliance with NARA directives, and the FMCS has made good progress in consultation with NARA representatives on file plans for the Agency. The FMCS is on target for compliance goals.

8. With regard to records management, is your agency preparing for the upcoming change in Presidential administration?

XX Yes No

8a) *Provide a list of the actions your agency, components, or bureaus have taken to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration.*

The FMCS records manager is working with the Office of the Director in preparation for the transition.

8b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration, including ensuring that federal records are not improperly removed from the agency.*

Preparations for transition to a new Administration will include the cataloguing of records generated within the FMCS Office of the Director. The cataloguing will identify records to be retrieved and subject to retention and transfer to the National Records Center for 10 years, followed by eventual transfer to NARA for permanent storage. The FMCS will work with NARA representatives under the interagency agreement to ensure that “best practices” for the disposition of federal records are followed. .