



*Senior Agency Official for Records Management
2017 Annual Report*

The [OMB/NARA Managing Government Records Directive \(M-12-18\)](#) requires Senior Agency Officials for Records Management (SAORM) 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* 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 January 8, 2018 and reports are due back to NARA no later than March 16, 2018.

NARA plans to post your 2017 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, 2017.
- 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 PRMD@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 **John Arnold**
- Position title **Director of Public Affairs**
- Address **250 E Street SW, Washington, D.C. 20427**
- Office telephone number **(202) 606-5442**

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

RESPONSE: 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

RESPONSE: FMCS is working with prospective vendors to digitize existing paper records. Concurrently, we are developing naming conventions, meta data, and taxonomies to facilitate our document and records management program.

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

RESPONSE: FMCS has a consulting contract with NARA and is working with our NARA consultant, Shanea L. Gonzalez, on a regular basis to make certain all record schedules are properly implemented and FMCS is in compliance with NARA requirements.

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

RESPONSE: FMCS's agency reform plan will not affect its records management capacity or planning.

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

RESPONSE: FMCS senior managers have demonstrated their support for the records management initiative; they have provided briefings and background for mid-level managers on electronic records management requirements and the ongoing FMCS compliance efforts, and have allocated staff and financial resources to this compliance effort.

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

RESPONSE: Yes, these actions were performed with outgoing officials of the last Administration. New arrivals have received the mandatory briefing or will receive the briefing and related NARA materials upon reporting for duty at the Agency.

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

RESPONSE: FMCS is preparing an RFP to be issued by the end of March, 2018 to secure services for the design and implementation of an information architecture solution to fully automate electronic records management, document management, and content management, to also include categorization of unclassified information. This document will constitute a blueprint for the agency for information resource management for the immediate future.

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)

RESPONSE: We are working with NARA on a regular basis with the goal of implementing NARA-approved records management software in conjunction with the implementation of Share Point software as a file repository and document manager for the agency. In addition, we are working on records archiving and achieving compliance with CUI standards and naming conventions. It would be helpful to have more templates from NARA and examples of small agencies that implement the NARA policies and bulletins. For instance, FMCS would like more examples, which are applicable to small agencies with limited resources, of how to rollout a program to comply with CUI standards.