

Senior Agency Official for Records Management
Annual Report
FEDERAL MEDIATION AND CONCILIATION SERVICE

2020



ONE INDEPENDENCE SQUARE

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Washington, D.C. 20462

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FEDERAL MEDIATION AND CONCILIATION SERVICE
OFFICE OF THE DIRECTOR

Name of SAORM: Gregory 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?**

Federal Mediation and Conciliation Service, Chief Operating Officer

- 2. Has the COVID-19 pandemic changed any policies or practices related to records management at your agency?**

- Yes
 No
 Do not know

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

Policies and procedures have not changed during the pandemic. All records are being managed electronically.

- 3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)**

- Yes
 No
 Do not know

Please provide details on what support is needed:

The Records Officer works closely with our IT Department and contractor ensuring all records are managed throughout their respective life cycle. We consult with the FMCS Office of General Counsel who evaluates and ensures compliance with applicable laws, regulations, and policies regarding FMCS's records management policies.

4. 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)

- Yes
 No
 Do not know

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

FMCS continues making significant progress managing all permanent records in an electronic format using the appropriate metadata. We have fully implemented an electronic record keeping system using Share Point, Office 365 and Gimmel with functional capabilities for storing, tagging, and applying metadata to permanent records.

Electronic records are documented in the FMCS Directive and Information Manual currently awaiting final approval.

5. Has your agency made progress towards managing all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)

- Yes
 No
 Do not know

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

All temporary records are managed in our electronic records keeping system as required by NARA.

6. Is your agency investing resources in IT to support the transition to electronic recordkeeping?

- Yes
 No
 Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

Our agency has invested resources and budget to support our electronic record keeping tool to manage all electronic records using Gimmel, SharePoint and Office 365.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your agency have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
 No
 Do not know

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

FMCS is currently storing records at the National Records Center. Any remaining paper records will be transferred by December 31, 2022.

8. Does your agency have policies and procedures that include documentation to ensure records of newly appointed and 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
 Do not know

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

The agency has procedures in place that capture and prevent any deletion or altering of electronic records and email.

FMCS has standard onboarding processes for all new employees. All employees are required to take records management training within 60 days of employment.

In addition, all outgoing Senior Officials are required to process out with two checklists and briefed by the Agency Records Officer. All passwords, laptops, phones, and other government equipment are turned over to our IT Department.

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

- Yes
 No
 Do not know

9. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes
 No
 Do not know