



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: Xavier Storr

Position title: Director of Contracts and Administrative Services Division

Address: 1400 K Street, NW, 2nd Floor, Washington, DC 20424-0001

Office telephone number: 202-218-7764

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

Federal Labor Relations Authority (FLRA)

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*)

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:*

- FLRA has begun discussing implementing a Capstone approach, for managing all email records.
- FLRA has identified a document management solution, for use with our approach.
- FLRA has identified the changes necessary, within its MS Exchange system.

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

- Updating FLRA formally approved email policies.
- FLRA is planning to use MS Exchange for managing email retention, as well as a document management system to capture case related messages.
- FLRA is planning to establish a disposition schedule for agency email (either destroy in agency or transfer to NARA), and
- FLRA is going to implement the Capstone approach for applicable agency email.

3. Has your agency taken actions to implement 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?

Yes No

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

Guidance was provided to all FLRA employees, instructing them not to conduct FLRA business via their personal email accounts. If this inadvertently occurs, FLRA employees were instructed to forward all applicable emails to their work email.

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).

FLRA only permits email for processing FLRA mission functions. The internal controls for this are to be determined.

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*)

x Yes No

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

FLRA has made a request for additional funding in the FY 16 budget to support this goal.

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

FLRA technology committee that meets quarterly to discuss topics such as this and planning has already begun. The Agency is looking to implement a Document Management solution.

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*)

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:*

- The FLRA is still in the discussion phase. The initial steps for electronic email will support this overall effort.

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

- Developing an Agency electronic email records plan.
- Implement an Agency Document Management System.

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 FLRA is looking to transition to an electronic case file, by implementing an in-house document management system. The biggest challenge, is finding the staffing resources to manage and/or implement the changes necessary to meet the directive.

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

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.*

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.*