



Senior Agency Official for Records Management 2020 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 19, 2021, and reports are due back to NARA no later than March 19, 2021.

NARA plans to post your 2020 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- 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 2020 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: Michael Jeffries
- Position title: Executive Director
- Address: 1400 K Street NW Washington, DC 20424

1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately?

This report covers the entire Federal Labor Relations Authority.

Please provide a list, and also indicate any that are new or have been changed due to reorganization or other circumstances.

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): N/A

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 agency's SAORM, CIO, ARO, and SOL are responsible for coordinating with each other to connect information, data, and records management.

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): Our Agency has implemented a Document Management system, along with an eFiling system. Both applications are part of the long-term objective to be fully electronic by December 31, 2022. We have also developed and begun implementing a plan for permanent hard copy case files to be scanned or transferred to NARA.

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): There is a plan in place to be totally electronic by December 31, 2022.

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: Yes, as mentioned above, the Agency has developed a plan for transitioning to 100% electronic records. The Agency has invested in developing a new case management system as well as a document management system.

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): We will continue to use the Federal Records Center (FRC).

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):

All new FLRA employees must complete the Agency Records and Information Management training within 60 days of arrival. The ARO will provide records management training to political appointees, senior agency officials, and senior executives upon their arrival. This may include conducting entry interviews with your agency's records management staff, IRMD, and SOL. Other, guidance will be provided on where records should be maintained to include storage, access, and application of assigned records disposition instructions to ensure that records are preserved and protected.

The ARO will brief all departing senior officials, Agency Heads, Career and non-career Senior Executive Service (SES) employees, Schedule C employees, and Presidential Appointees with or without Senate Confirmation (PAS/PA) on their records management responsibilities. At a minimum, we provide departure procedures 30 days in advance, or as soon as the individual notifies the agency of their departure, to allow records preparation and transfer before the employee's departure date. All FLRA employees must request and obtain approval from their ARO and SOL to remove copies of materials or information they may desire to take.

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

Yes

No

Do not know

Please explain your response (include details of specific challenges, if applicable): Yes, the FLRA is working towards meeting the goal of a fully electronic recordkeeping environment to the furthest extent possible. However, our ability to meet the goal of full-electronic recordkeeping is dependent on funding to continue developing our new Case Management System.

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

Yes

No

Do not know

Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions): Yes, it will be especially helpful for NARA to provide examples of successful enterprise-wide electronic recordkeeping systems used at other agencies, to assist our Agency with meeting the initiatives identified in the memorandum: Transition to Electronic Records (M-19-21), issued by OMB and NARA.