



Senior Agency Official for Records Management 2018 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.

The reporting period begins on March 11, 2019 with reports due back to NARA no later than April 19, 2019.

NARA plans to post your 2018 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, 2018.
- 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 rmselfassessment@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):

- Timothy A. Greten
- Senior Agency Official for Records Management
- Federal Mine Safety and Health Review Commission (FMSHRC)
1331 Pennsylvania Ave., NW, Suite 520N

- 1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

Federal Mine Safety and Health Review Commission (FMSHRC)

- 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

All records scheduled as permanent at FMSHRC are in electronic format and are accessioned to NARA through the Electronic Records Archive (ERA) system in accordance with the agency's approved disposition authority.

- 3. Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

- Yes
 No

Please explain your response:

Policies – As SAORM, I have directed the agency records officer to update FMSHRC's information management policy manual to include CUI, COOP, and FOIA elements. The policy will explain proper management of electronic records and serve as a guide for employees on their responsibilities for managing all electronic and textual records. The policy will also cover how we will transmit all permanent records in electronic format to NARA starting in 2019.

Systems – I work closely with the IT Department in the Office of the Executive Director on IT system deployments and renewal of contracts. Through the procurement process, I ensure that records management requirements are built into the agency electronic systems development process.

Access – FMSHRC’s permanent electronic records are protected against unauthorized access, use, alteration, alienation, or deletion; and are searchable, retrievable, and usable for as long as they are maintained in agency custody.

Disposition – FMSHRC is currently operating with NARA approved records schedules and in the process of having updated schedules approved by the archivist assigned to the agency. Transfers of permanent records are accessioned to NARA in electronic form.

4. **As included in the Administration’s [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies’ business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration’s acceptance of paper records by December 31, 2022. This would improve agencies’ efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

- Yes
 No

The electronic case management system currently in use at FMSHRC logs, tracks, and stores documents pertaining to the official case files both at the trial and appellate levels. These case files are temporary documents with an approved retention period of 6 years, or when no longer needed for administrative, legal, audit, or other operational purposes.

As explained in question 2, all FMSHRC records scheduled as permanent are in electronic format and are accessioned to NARA through the Electronic Records Archive (ERA) system in accordance with the agency’s approved disposition authority.

5. Is your agency utilizing General Service Administration's Schedule 36 to procure solutions to assist in transitioning to an Electronic Environment?

Yes

No

Please explain your response:

FMSHRC's IT systems that generate and hold information classified as official records are the email system, the file cluster for document storage, and the electronic case management system (ECMS). A vendor who has the sole responsibility of maintaining and backing up the systems manages and maintains this system. The email and file share services are managed and supported by the agency's IT department. In addition, FMSHRC has a contract with a separate vendor to test these backups to ensure that they can be properly recovered. Proper controls are in place for all electronic recordkeeping systems.

6. Have you, as the SAORM, established or improved your agency procedures that ensure 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

Changes were unnecessary (click [here](#) for your agency's 2017 report)

No, changes are being considered but have not been made

No

Please explain your response:

FMSHRC's records management policy requires that all senior and appointed officials, including those incoming and newly promoted, receive training on the importance of appropriately managing records under their immediate control.

As the SAORM for the agency, I ensure that exit briefings and applicable exit clearance processes for departing senior officials are also conducted and documented on the appropriate disposition of their records.

FMSHRC's policy on the use of personal email requires that employees forward a complete copy of the record to their official electronic account when transmitting the email record, or do so no later than 20 days after the original creation.

7. **Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

Yes
 No

Please explain your response:

In accordance with the Federal Records Act, I have taken the necessary steps to promote records management accountability and oversight at the senior management level, and to ensure that FMSHRC complies with all applicable records management statutes, regulations, NARA and OMB policies.

FMSHRC remains committed to establishing and maintaining an effective records management program.

8. **Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

Yes
 No

Please explain your response:

Based on feedback received during last year's training, FMSHRC developed a customized training concept in 2018. This model provided an opportunity to disseminate and discuss the comprehensive review of the record schedules and file plans for each department performed last year.

Separate training sessions were also conducted with FMSHRC management and administrative law judges to review the applicable records management regulations and policies and to discuss the current systems, records, and operations at the agency.

9. Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?

- Yes
 No

Please explain your response:

FMSHRC has worked closely with the assigned NARA archivist to finalize records schedules updates for all departments. The updated schedules were disseminated and discussed during the training sessions to ensure compliance with the agency's approved disposition authorities.

I remain committed to ensure that management is aware of proposed records management policies, especially as we continue to move into a more digital era. In an effort to make our procedures as seamless as possible, we are also creating an agency Information Management Policy that essentially lays out a doctrine for how employees need to keep records, based on our current systems and daily operations.

10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

- Yes
 No

Please explain your response:

FMSHRC's permanent records are in electronic format for accession to NARA in accordance with the agency's approved disposition authorities.