



Senior Agency Official for Records Management 2019 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 13, 2020, with reports due back to NARA no later than March 13, 2020.

NARA plans to post your 2019 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 records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- 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 2019 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)

- 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 managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

- Yes
 No

Please explain your response:

FMSHRC preserves its permanent records in a secure electronic record keeping system and in electronic format. The agency's permanent records are accessioned to NARA through the electronic Records Archive (ERA) system in accordance with the agency's approved disposition authority.

- 3. 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

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

FMSHRC manages its permanent records in an electronic format. The agency permanent records are currently maintained in a secure electronic record keeping system, such as secure shared drive folders. The agency information technology department is in the process of determining the appropriate metadata method to retain all agency records, likely in the upcoming agency instance of Microsoft 365 Sharepoint.

4. Has your agency made progress towards managing all temporary records in electronic format? (M-19-21, 1.3)

- Yes
 No

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

In accordance with M-19-21, 1.3, all agency temporary records are stored and managed in internal information systems, and through inter-agency agreements with other agencies. All temporary records are maintained in electronic format and disposed of in accordance with their approved disposition authorities.

5. Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)

- Yes
 No

Please explain your response (include specific goals and example metrics):
Specific steps already taken include:

- a) FMSHRC has a robust records management program in place to ensure that agency records are appropriately retained, stored, and transferred in accordance with approved disposition schedules.
- b) The agency has designated a Senior Agency Official for Records Management who oversees the agency records management program and complies with applicable regulations, policy, and statutes.
- c) The agency also has designated an Agency Records Officer responsible for overseeing the agency record keeping requirements and operations, and who holds the NARA Certificate of Federal Records Management Training.
- d) The agency conducts annual refresher training, customized to each department, and provides training to new employees to keep them informed of their records management responsibilities and requirements.
- e) All records created and maintained by FMSHRC are covered by a NARA-approved records schedule. Permanent records are accessioned to NARA when they reach their scheduled disposition date.
- f) FMSHRC conducted a comprehensive review of its records schedules and file plans in FY 2018, which were approved by NARA in FY 2019.

6. If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)

- Yes
 No

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

FMSHRC does not have an agency-operated record center. Temporary paper records previously sent to a Federal Record Center have been migrated to an electronic record keeping system as the official system of records schedules for all temporary case files. This migration started on December 2, 2019 and will continue through March 2, 2020, when the agency will no longer create, deliver, and store paper files.

7. Does your agency have procedures that include documentation to ensure records of 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

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

All senior and appointed officials, including those incoming and newly promoted, receive training on the importance of appropriately managing records under their immediate control.

Exit briefings and applicable exit clearance processes for departing senior officials are also conducted and documented on the appropriate disposition of their records.

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

- Yes
 No

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

The agency does not anticipate any foreseeable challenges with meeting the goals of a fully-electronic record keeping system at the moment. The sustainability of electronic methods will have to be assessed as the programs used to organize information and associated metadata continue to evolve in the future.

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

Yes

No

Please provide details on what support is needed:

Not at the present time. Attendance to the BRIDG meetings by the agency records officer are very helpful to keep updated on new directives and developments in records management.