



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 J. Chirico
- Position title: Governmental Liaison, Senior Policy Advisor
- Address: 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 provide a list, and 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. 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):

The Commission has been on full situational telework status since March 13, 2020. All temporary and permanent records are available to all personnel through shared drives in the agency's network. During this reporting year, employees and contractors logged in using an RSA SecurID token to gain connectivity to the virtual private agency network safely from their respective telework locations. The agency uses an electronic case management system to manage its cases docket, also available remotely.

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 Commission has established information governance that connects records management, data management, and other information lines of business with the proper coordination between the CIO, SAORM, ARO, and designated RM Staff.

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):

The Commission manages its permanent records in an electronic format. The agency's permanent records are currently maintained in a secure electronic record-keeping system, such as secure, shared drive folders. The agency Executive Director serving as the CIO has determined the current secure, shared drive folders will be transferred during the migration to individual Microsoft OneDrives. The O365 migration remains underway, and there is no definitive timeline of completion due to the COVID Pandemic. Employees will collaborate and access information currently on the drives via SharePoint once this project is complete. Parameters are set within the SharePoint site to assign the Metadata to all contents within site. Information can be readily retrieved by searching the appropriate parameters.

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):

In accordance with M-19-21, 1.3, all 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.

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.

The Commission continues to invest in resources to allow and strengthen the IT infrastructure to support the agency records management processes to include other initiatives. The Commission

is in a Hybrid environment. The agency's email archiving resources are Enterprise Vault and Office 365. The Veritas Enterprise Vault automatically moves emails and their attachments from the folders in the employee's Outlook mailbox to an online storage area. This vault runs automatically and performs archiving at off-peak times. The O365 e-mail archiving begins immediately and all emails are captured indefinitely. After the migration is complete, all emails currently stored in the Veritas Enterprise Vault will be transferred to the online Microsoft O365 version. The outline resources are aligned with the Commission's retention policy.

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):

The Commission does not use commercial storage facilities, nor does it have an agency-operated record center. Temporary paper records previously sent to a Federal Record Center have been migrated to a fully electronic record-keeping system as the official system of records for all temporary case files. This migration began in late 2019 and was completed in March 2020. The agency no longer creates, delivers, or stores paper files.

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 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.

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):

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.

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):

Not at the present time. The agency records officer has participated in virtual BRIDG meetings throughout the reporting year. As a newly appointed SAORM for the agency, I have found both the BRIDG and SAORM meetings I have attended very helpful to keep updated on latest developments in records management from NARA agency services. I look forward to continue to attend these biweekly discussions remotely.