



Senior Agency Official for Records Management 2021 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. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

The reporting period begins on January 10, 2022, and reports are due back to NARA no later than March 11, 2022.

NARA plans to post your 2021 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, 2021, 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 2021 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: Leslie C. Bayless (*as of mid-December 2021*)
- Position title: Chief Operating Officer and SAORM
- Address: 1331 Pennsylvania Ave N, Suite 520 N
Washington, DC 20004-1710

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.

The entire Federal Mine Safety and Health Review Commission will be covered by this report, which includes headquarters and two satellite offices and the following departments:

Office of Chair and Commissioners
Office of General Counsel
Office of Chief Administrative Law Judge
Office of Executive Director

2. Has the COVID-19 pandemic impacted policies or practices related to records management at your agency?

- Yes
 No
 Do not

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

In FY 2021, Commission employees remained on full-time situational telework status. All temporary and permanent records were 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 integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

- Yes
 No
 Do not know

Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.

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, Privacy Officers, FOIA and designated RM Staff. In FY 2021, bi-monthly mid-level management meetings were held where the individuals in these positions would discuss issues and initiatives.

- 4. Will your agency meet the goal to manage and preserve 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, example metrics, and/or challenges):

The Commission already 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 is on target to be completed by the end of the second quarter of FY 2022. 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. Will your agency meet the goal to manage and preserve 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, example metrics, and/or challenges):

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. Does your agency have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?

- Yes
 No
 Do not know

Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.

The Commission has fully transitioned to a paperless records management system and has successfully accessioned electronic records to NARA (most recently in 2019).

7. Is your agency utilizing the General Services Administration’s Special Item Number for Electronic Records Management ([518210 ERM](#)) 6 to procure solutions to assist in transitioning to an Electronic Environment?

- Yes
- No
- Do not know

Please explain your response. If ‘Yes,’ please include specific examples and how this will support records management processes. If ‘No’ or ‘Do not know,’ please explain.

No, FMSHRC is currently not using category 518210 ERM to procure solutions to assist in transitioning to an Electronic Environment. However, the schedule is available to use in the GSA e-library where we procure other services. For instance, we procure services for the e-CMS maintenance from another schedule, 511210 for software licenses. We do have the opportunity to use this schedule to procure solutions.

8. Has your agency developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?*

- Yes
- No
- Do not know

**M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

Please explain your response. If ‘Yes,’ provide details about the use of commercial storage and other changes related to storage. If ‘No’ or ‘Do not know,’ please explain.

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.

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 maintaining 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. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any

- Yes
 No
 Do not know

Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions):

The bimonthly BRiDG meetings are informative and helpful. Because there has been turnover in RM program staff at many agencies, it may be beneficial to offer a demo of training catalog material at a future meeting with instructions on how to access and utilize training material, and what limitations or restrictions there might be to use a portion of the training materials for agency-wide staff training.