

Senior Agency Official for Records Management 2016 Annual Report



The [OMB/NARA Managing Government Records Directive \(M-12-18\)](#) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report to NARA. This report demonstrates how your organization is achieving the goals of the *Directive* and other important initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in meeting the goals of the *Directive*, including implementing proper email management and transitioning to electronic recordkeeping. Additionally, NARA uses the report for information sharing purposes to provide best practices and model solutions with Federal agencies.

The reporting period begins on January 9, 2017 and reports are due back to NARA no later than March 17, 2017.

NARA plans to post your 2016 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.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- 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 PRMD@nara.gov. Include the words "SAORM annual report" 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 - **JOHN McWILLIAM**
- Position title – **SENIOR POLICY ADVISOR**
- Address - **1331 Pennsylvania Ave., NW,
Suite 520N, Washington, D.C. 20004**
- Office telephone number - **(202) 434-9909**

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

FEDERAL MINE SAFETY AND HEALTH REVIEW COMMISSION

2. **Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)**

Yes

No

If No, please list and explain which part of your agency or components did not meet the deadline?

(Please note: Through a separate reporting request we will be asking your agency records officers to provide additional information regarding compliance with this target according to the email success criteria published by NARA in April 2016. [Criteria for Managing Email Records in Compliance with the Managing Government Records Directive \(M-12-18\)](#))

3. **Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)**

Yes

No

If No, please list which part of your agency or components did not and why?

4. Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)

Yes

No

If Yes, please describe this progress.

If No, please list which part of your agency or components did not and why?

Not applicable - The Commission does not have permanent electronic records.

5. Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)

Yes

No

Please describe your specific plans or actions.

The Commission has taken steps to convert into electronic format a significant collection of permanent documents with historical value, such as the Biographies of Chairman and Commissioners from the inception of the Commission in 1977 to date.

The Commission's Blue Books, created in hard copy, are monthly publications containing copies of the Administrative Law Judges and Review Commission decisions, and are also available in electronic format and accessible in the Commission's website.

The Records Management staff has also identified additional permanent records such as Annual Reports, Decisional Memoranda, Speeches, and Policies and Procedures, to be digitized in the coming year for accessioning to NARA through the Electronic Records Archive (ERA) system, in accordance with the agency's approved disposition authority.

6. Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)

Yes

No

If Yes, please describe what steps have been taken.

As the Commission's SAO, I am committed to ensure that the Commission complies with all applicable Records Management statutes and regulations, NARA policy, and the requirements of the Agency Records Management Directive.

During this reporting year, I have directed the Agency Records Officer to complete the required Records Management Certificate Training and have established a network of Records Liaison Officers to represent each Commission office. I have conducted periodic meetings throughout the year with records management personnel to review and discuss their assigned roles and responsibilities.

Under my supervision, the Commission developed and imparted training to all employees, contractors, and senior management. The Commission plans to expand this training in the coming year to include a presentation by a NARA training team.

All existing records are included in the Commission's File Plan and Record Schedule approved by NARA. The Records Schedules, File Plans, and the Agency Records Management Directive are being revised to reflect current systems, records, and operations. All electronic and textual records are easily identifiable, retrievable, and accessible when needed, including those stored in a Federal Record Center (FRC).

In 2016, the Commission implemented the use of the Electronic Records Archive system for accession of permanent records to NARA. The Commission also plans to implement the Archives and Records Centers Information System records transfer portal to process all transfer requests of temporary records to the FRC electronically.