



*Senior Agency Official for Records Management  
2017 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* 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 8, 2018 and reports are due back to NARA no later than March 16, 2018.

NARA plans to post your 2017 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, 2017.
- 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](mailto:PRMD@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):

**JOHN McWILLIAM**  
**SENIOR POLICY ADVISOR**  
**FEDERAL MINE SAFETY AND HEALTH REVIEW COMMISSION**  
**1331 PENNSYLVANIA AVE., NW, SUITE 520N**  
**WASHINGTON, D.C. 20004**  
**(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. **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

*Please explain your response:*

The Commission has already converted permanent documents with historical value into electronic format, and is also digitizing additional permanent records identified for accessioning to NARA through the Electronic Records Archive (ERA) system in accordance with the agency's approved disposition authority.

3. **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 explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.*

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, Speeches, and Policies and Procedures, to be digitized in the coming year for accessioning to NARA through the ERA system, in accordance with the agency's approved disposition authority.

The Commission is in the process of digitizing additional permanent records identified for accessioning to NARA through the ERA system in accordance with the agency's approved disposition authority.

**4. OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

- Yes
- No

*Please explain your response:*

The Commission will take pertinent steps if the reform plan results in reorganization and elimination of offices and/or functions.

**5. Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management <https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html>)

- Yes
- No

*Please explain your response*

In accordance with the Federal Records Act, I have taken the necessary steps to ensure that the Commission is in compliance with all applicable records management statutes, regulations, NARA and OMB policies and to establish and maintain a program for the efficient management of its records.

The Agency Records Officer (ARO) has researched options for providing records management training to all employees, contractors, and senior management of the Commission. A thorough review of the records management file plan was performed and records schedules were updated for subsequent submission to NARA's review and approval.

During the reporting year, I promoted effective records management at the senior level, worked closely with the IT Department in the Office of the Executive Director to review deployment of IT systems, and the ARO met with the FOIA officer to discuss requests related to records management. The ARO has provided guidance to the departments' RLOs to improve the implementation of the agency's records management program.

As part of the SAORM oversight activities, I assisted the ARO with the preparation and submission of annual reports to NARA.

The necessary financial, personnel, and technological resources have been made available to ensure adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency.

**6. Have you, as the SAORM, ensured that 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
- No

Please explain your response:

The Commission'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 conducted and documented on the appropriate disposition of their records, including email.

**7. Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))?**

- Yes  
 No

Please explain your response:

As the Commission's SAORM, 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, the Commission received dynamic and thought provoking training on records management under my supervision. The ARO coordinated with NARA a records management overview training session for all employees, contractors, and senior management, which included information particular to the Commission's operations and record keeping systems.

I directed the ARO to conduct individual meetings with records liaison officers from each department to review and revise their respective records schedules and provide guidance to the RLOs during the update process.

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 FY 2017, the Commission implemented the use of the Archives and Records Centers Information System portal to process all temporary records transfer requests to the FRC electronically, and has continued to use the ERA system for accession of permanent records to NARA.

**8. What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

None are required.