



Senior Agency Official for Records Management FY 2015 Annual Report

The *Managing Government Records Directive (M-12-18)* requires Senior Agency Officials (SAOs) for Records Management 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 November 16, 2015, and reports are due back to NARA no later than COB January 29, 2016.

Please note that NARA will post a version of your 2015 SAO report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. Please let us know whether there is a specific justification as to why your report cannot be publicly shared (in whole or in part).

Instructions for Reporting

- This template covers progress through fiscal year (FY) 2015.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the eight questions/items on the following pages and send the report to prmd@nara.gov. Include the words “SAO annual report” and your agency’s 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 SAO: **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 are the agencies, components, or bureaus covered by this report and your position as SAO?

FEDERAL MINE SAFETY AND HEALTH REVIEW COMMISSION

2. Is your agency going to meet the *Directive* goal to manage all email records in an accessible electronic format by December 31, 2016? (*Directive Goal 1.2*)

Yes No

2a) *Provide a list of actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- *establishing formally approved email policies,*
- *use of any automated systems for capturing email,*
The agency has implemented a policy to capture email through an automated system.
- *providing access / retrievability of your email,*
The agency has implemented a policy to provide access and retrievability of email.
- *establishing disposition practices for agency email (either destroy in agency or transfer to NARA), and*
- *possible implementation of the Capstone approach for applicable agency email.*
The agency is currently working on a project plan for implementation of the Keystone approach.

- 2b) *Provide a list of the actions your agency, components, or bureaus plan to take in 2016 to meet this goal.*

The Commission uses Microsoft Exchange as its mail system and Symantec Enterprise Vault to archive mailboxes. Both databases are backed up and stored indefinitely. The Commission has the capability of managing all email records in an accessible electronic format.

The Commission is working on the following plan of action to meet the Directive Goal 1.2 by December 31, 2016 and plans to issue a policy on email to all employees and contractors in FY2016.

- 1. Upgrade the archive software to the latest edition.**
- 2. Create and implement a high availability solution with the archive software.**
- 3. Create policies within the archive software to retrieve all emails, attachments, and metadata in accordance to the Capstone Theory.**
- 4. Upgrade the backup environment to meet the archival needs, as specified in the Capstone Theory**
- 5. Create backup policies to archive all perspective data based on the Capstone Theory**
- 6. Conduct research to improve methods of transporting the archival data to its final retention area based on the Capstone Theory**

3. Has your agency taken actions to implement the 2014 amendments to the *Federal Records Act* requiring Federal employees to copy or forward electronic messages (including email, texts, chats, and instant messaging) that are federal records from their non-official accounts to official accounts within 20 days?

Yes No

The Commission has updated its Records Management Information Manual to reflect this change. Senior management officials have been briefed on this requirement. Federal employees and contractors received instructions and information pertinent to this new rule in FY 2016.

4. Describe your agency's internal controls for managing electronic messages (including email, texts, chats, and instant messaging) of the agency head and other executives (including appropriate advisers, and other senior management staff).

The Commission's information technology staff has internal controls in place to capture and archive all of the electronic messages of the agency head and other senior executives.

5. Is your agency going to meet the *Directive* goal to submit records schedules to NARA for all existing paper and other non-electronic records by December 31, 2016? (*Directive Goal 2.5*)

Yes

5a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal.*

The Commission submits to NARA all case docket records that have been disposed of for over two years by forwarding Form SF-135 to NARA twice a year for acceptance and approval. Once the request is approved by NARA, a NARA officer returns an approval form and provides the Commission with a date to collect the records from the Commission's staging area for transfer to a NARA facility.

5b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

The Commission will continue to use this method for docket records transfers to a NARA facility.

6. Is your agency going to meet the *Directive* goal to manage all permanent electronic records in an electronic format by December 31, 2019? (*Directive Goal 1.1*)

Yes **No, the agency does not have any permanent electronic records.**

6a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- *establishing formally approved electronic records policies,*
- *use of any automated systems for capturing electronic records,*
- *providing access / retrievability of your electronic records, and*
- *establishing disposition practices for agency electronic records.*

- 6b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

7. Please provide any insight to your agency's efforts to implement the *Managing Government Records Directive* and the transition to a digital government.

Provide a brief description, including any positive or negative outcomes, challenges, and other obstacles.

It would be mutually advantageous if NARA could provide sample project plans to small agencies to facilitate implementation of the directive and the transition to digital government. We welcome the opportunity to work one-on-one with a NARA representative on this important effort.

8. With regard to records management, is your agency preparing for the upcoming change in Presidential administration?

X Yes No

- 8a) *Provide a list of the actions your agency, components, or bureaus have taken to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration.*

- 8b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration, including ensuring that federal records are not improperly removed from the agency.*

Not applicable to the Commission, as Presidentially Appointed Senate Confirmed Commissioners serve six year terms, independent of change in Presidential Administration. Internal Controls are in place by the Office of the General Counsel to ensure that departing senior officials are cleared at the end of their staggered terms.