



Senior Agency Official for Records Management 2019 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 13, 2020, with reports due back to NARA no later than March 13, 2020.

NARA plans to post your 2019 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, 2019.
- 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 2019 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: William D. Spencer
- Position title: Acting Executive Director and Acting Chief Information Officer
- Address: 1615 M Street, NW, Suite 500
Washington, DC 20419

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

Please provide list:

U.S. Merit Systems Protection Board (MSPB)

2. **Is your agency managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

- Yes
- No

Please explain your response:

MSPB is managing the majority of permanent records in electronic format, including email records. MSPB has some older permanent records that remain in paper format and is working on plans to convert those records to electronic format.

3. **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

Please explain your response (include specific goals and example metrics):

MSPB's records management and IT staff are working on plans to ensure permanent records have appropriate metadata. This effort overlaps with MSPB's current IT modernization initiative to configure and prepare to migrate to a new document

management system, where MSPB currently stores most permanent records. MSPB does not yet have specific goals or metrics in place for this effort, as it has been without a Records Officer since early FY 2019, but we expect that a new Records Officer will be hired by summer.

4. Has your agency made progress towards managing all temporary records in electronic format? (M-19-21, 1.3)

- Yes
- No

Please explain your response (include specific goals and example metrics):

The majority of MSPB's temporary records consist of appeal files that support our adjudicatory mission. Starting in FY 2013, and expanding each year, MSPB has increased the number of appeal files that could exist fully in electronic format. In FY 2019, MSPB expanded this effort to allow all new appeal files to exist fully in electronic format. MSPB also will focus efforts on managing other temporary records in electronic format after it hires a Records Officer by the summer.

5. Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)

- Yes
- No

Please explain your response (include specific goals and example metrics):

MSPB makes records management training available to all new employees and regularly informs MSPB personnel of their records management responsibilities. In support of M-19-21, MSPB recently revised the position description for its vacant Records Officer position to require the NARA Certificate of Federal Records Management Training and to include duties and skills associated with electronic records management. Additionally, MSPB has worked for the last few years to update agency records schedules, and will continue with this effort after a Records Officer is hired by the summer.

6. If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)

- Yes
- No

Please explain your response (include specific goals and example metrics):

Not applicable.

7. Does your agency have procedures that include documentation to ensure records of 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

Please explain your response (include specific details of procedures):

MSPB has implemented a Capstone program. When a Capstone-designated official departs the agency, MSPB's acting Records Officer provides a records management debriefing for them. This meeting includes discussing the obligations to properly maintain records and ensure records are not improperly removed. MSPB has enterprise-level settings in place through Microsoft Office 365 to protect against the unauthorized alteration or deletion of email.

8. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?

- Yes
- No

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

MSPB is a small agency of approximately 235 authorized FTE, with only 1 full-time dedicated records management staff member (the Records Officer position, currently vacant). MSPB has had challenges retaining Records Officers; they have departed MSPB for promotions and opportunities at larger agencies. To meet the goal of fully-electronic recordkeeping, MSPB anticipates needing a Records Officer who is committed to spending several years at MSPB to see the agency through this important and challenging effort. To support this effort, MSPB recently revised the position description to reflect higher-graded duties for its Records Officer position.

9. Do you need support from NARA to ensure a successful transition to fully-electronic recordkeeping?

Yes

No

Please provide details on what support is needed:

At this time, MSPB is focused on the early stages of modernizing our legacy core business applications; further, at this time, it is without a Records Officer to focus on transition efforts. MSPB may solicit assistance from NARA once a new Records Officer is hired (by the summer) and when the modernization process is further along. Additionally, MSPB values any assistance or direction NARA can provide to small agencies to identify ways to leverage existing Federal resources or enter into shared services agreements to meet the requirements to transition to fully electronic recordkeeping.