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 19, 2021, and reports are due back to NARA no later than March 19, 2021.

NARA plans to post your 2020 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, 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 rmselfassessment@nara.gov. Include the words "SAORM 2020 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
- 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 provide a list, and also indicate any that are new or have been changed due to reorganization or other circumstances.

   U.S. Merit Systems Protection Board (MSPB)

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

   ● Yes

   ☐ No

   ☐ Do not know

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

   MSPB has tailored specific records management policy and guidance regarding managing records while working in a remote environment and disseminated the information to all employees. Within this guidance, MSPB has encouraged employees, where possible, to maintain electronic records in an electronic format. MSPB has continued our effort to move to fully electronic recordkeeping during the COVID-19 pandemic.

3. **Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)**

   ● Yes

   ☐ No

   ☐ Do not know

   Please provide details on what support is needed:

Within the last year, MSPB on boarded a new Records Officer and Chief Information Officer. Both positions are part of a broader effort within MSPB to further integrate IT, information security, privacy, FOIA, records management, and accessibility with each other and MSPB's statutory missions to adjudicate Federal employee appeals and conduct studies of the Federal workforce. As a small agency, MSPB's SAORM also serves as its Chief Data Officer, helping to ensure that data management is incorporated into the information governance framework. Stakeholders within the program offices listed above meet regularly to coordinate cross-cutting projects.

4. **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

☐ Do not know

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

MSPB has made limited progress in this area due to the 18-month vacancy in the Records Officer position, which was filled in August 2020. However, MSPB's records management, IT, and program staff are beginning to discuss the requirements to ensure permanent records have appropriate metadata. This effort also 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. Records management and IT staff expect to expand these initial efforts to ensure electronic records are managed with their associated metadata, which currently may be stored in a separate location.

5. **Has your agency made progress towards managing all <u>temporary</u> 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 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 2020, MSPB expanded this effort significantly, with more than 95% of newly-docketed appeal records managed as electronic records. MSPB intends to allocate resources, as available, to convert to electronic format other active temporary appeals records that are currently managed in paper. Additionally, with the addition of a permanent Records Officer to its staff in August 2020, MSPB plans to expand its

efforts in 2021 to manage other temporary records in electronic format to meet the December 31, 2022 deadline.

6. **Is your agency investing resources in IT to support the transition to electronic recordkeeping?**

◉ Yes

☐ No

☐ Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

MSPB is currently in the midst of an intensive IT modernization initiative with far reaching impacts that will strengthen our core adjudicatory systems and processes throughout the agency. Notably, this effort will replace our legacy, client-based document management and case processing systems and will utilize cloud services to improve efficiency and minimize risk. Electronic records management has been a priority during the configuration and development of the modernization effort to ensure records controls are configured and present at the time of deployment.

7. **To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your agency have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)**

☐ Yes

◉ No

☐ Do not know

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

Not applicable

8. **Does your agency have policies and procedures that include documentation to ensure records of <u>newly appointed and outgoing senior officials</u>* 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

☐ Do not know

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

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

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):

MSPB is a small agency of approximately 235 authorized FTE, with only one full-time records management staff member—the Records Officer. MSPB's new Records Officer envisions bringing some continuity to records operations at MSPB and building out a sustainable electronic records management program. However, the continuing operational challenges presented by the COVID-19 pandemic, coupled with a 9-month vacancy in MSPB's position that supports records, privacy and FOIA programs, may impact MSPB's overall efforts to meet the goal of fully-electronic recordkeeping.

10. **Do you have suggestions for NARA to improve its engagement with you as the SAORM?**

◉ Yes

☐ No

☐ Do not know

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

MSPB would appreciate NARA sharing any model use cases of successful transitions to fully electronic recordkeeping within the Federal Government. 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 requirement to transition to fully electronic recordkeeping.