



Senior Agency Official for Records Management 2020 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 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 rmsselfassessment@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: Diana Andrews
- Position title: Senior Advisor
- Address: 6401 Security Blvd, Suite 3000 Robert M Ball Building
Baltimore, MD 21235

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.

Social Security Administration (SSA's) Response:

This report covers the SSA.

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):

SSA's Response:

COVID-19 has changed SSA's policies and practices as they relate to compiling, shipping, and transferring records to and from the Federal Records Center (FRC). SSA, like many Federal agencies, has limited personnel on site to physically arrange or organize paper records for transferring out of the agency or to receive paper records needing to be transferred out of the agency or returned to the agency from an FRC.

Although not necessarily a change in policy or practice, during the COVID-19 pandemic, the Records Management Staff (RMS) provided reminders to all employees on their records and information management responsibilities and specific guidance related to records management in a telework setting, including instructions for use of personal devices, electronic messaging applications, and physical records created outside of the office.

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:

SSA's Response:

As of 2018, we established the Records and Information Management Stakeholder Governance Council (RIMSGC) that is representative of all components to offer insight and oversight of the Records Management Program working closely with the RMS and Agency Records Officer (ARO). The SAORM and RMS meets quarterly with the RIMSGC to keep them abreast of projects, processes, and new developments. The SAORM serves on the Data Governance Board and confers with the Data Governance Officer (DGO).

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):

SSA's Response:

SSA is making progress to implement the Manage Records Electronically (MRE) solution for permanent electronic records by December 2022. The agency created the MRE Product Team, which is dedicated to this goal. To date, the progress of the effort can be measured by these accomplishments:

- Conducted extensive Customer Discovery and Product Discovery sessions and developed capability and requirements documents.*
- Decided on SharePoint Online (part of Microsoft 365) as the primary repository for the agency's permanent electronic records.*
- Configured and tested permanent record site collections in SharePoint Online.*
- Developed PowerShell scripts to provide functionality to SharePoint Online.*
- Began implementation of the seven permanent record site collections in February 2020 and finished in June 2020.*
- Decided that for permanent records stored in systems or applications, Electronic Records Management (ERM) functionality will be built into each system when practical.*
- Drafted ERM policy for permanent electronic records.*

- *Began rollout of the Permanent Record Repository in May 2020.*
- *Investigated and tested migration tools and strategies to move permanent records and their associated metadata into the Permanent Records Repository.*
- *Created the Permanent Record File Share to secure permanent records that exist outside of Microsoft 365.*
- *Implemented Information Governance policies for the Permanent Record Repository.*
- *RMS became a member of the Enterprise Architecture Assessments Stakeholders group. Also revised the Records Management Questionnaire for the approval of new and modified software systems and applications that house permanent records.*

5. Has your agency made progress towards managing all temporary 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):

SSA's Response:

Yes, SSA has made progress towards managing all temporary records in electronic format. To date, the MRE Product Team has:

- *Created a comprehensive agency-wide inventory of all systems and applications currently in use.*
- *Developed a plan for managing temporary records.*
- *Implemented a plan to manage temporary electronic records in SharePoint Online and other Microsoft 365 products (such as OneDrive and Teams) by creating and applying Information Governance policies in Microsoft 365.*
- *Established Records Management as a stakeholder in the Enterprise Architecture review of systems and applications.*
- *Implemented Information Governance policies for SharePoint Online, Microsoft Teams, and OneDrive.*
- *Enabled retention of chats and messages in Microsoft Teams.*
- *Investigated and tested migration tools and strategies to move records in File Shares into Microsoft 365.*
- *Began developing scripts and reports on the agency's compliance with Federal guidelines.*

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.

SSA's Response:

Yes, SSA is investing resources in rolling out Microsoft 365 across the agency. Microsoft 365's records management compliance features will greatly enhance the agency's electronic recordkeeping. Additionally, the agency utilized contractor resources to create scripts to greatly automate record transfer, disposition, and reporting.

- 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 FRC's by December 31, 2022? (M-19-21, 1.3)**

Yes

No

Do not know

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

SSA's Response:

Yes. Regarding the Records Holding Area (RHA) in our Perimeter East Building (PEB), we plan to transfer the records held there to the FRC no later than December 31, 2022. However, for the records in the National Records Center (NRC), in February 2020, the SAORM submitted justification requesting an exception to keep this facility operating and housing records. If the exception is granted the agency will continue to have records held in the NRC.

- 8. Does your agency have policies and procedures that include documentation to ensure records of newly appointed and 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
 Do not know

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

SSA's Response:

Yes, our agency has 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. Incoming and outgoing senior officials receive briefings on their records management responsibilities, including policy instructions for records management and other recordkeeping requirements, the use of personal email, and records management training videos on demand. In addition, the ARO conducts exit interviews with departing senior officials.

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):

SSA's Response:

The challenges that exist relate to having the resources and budget to meet M-19-21 Requirements, such as managing permanent and temporary electronic records electronically, the digitization of paper records by 2022, and ceasing the use of agency-operated storage facilities.

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):

SSA's Response:

It would be helpful if NARA could provide a schedule/calendar early in the fiscal year of set meetings with SAO's to better ensure availability, communication, and facilitation of ideas to improve records management concerns.