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 (OMB) and NARA issued a memorandum, *Transition to Electronic Records* (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines.

On December 23, 2022, OMB and NARA issued a new memorandum, *Update to Transition to Electronic Records* (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33.

This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

**The reporting period begins on January 9, 2023, and reports are due back to NARA no later than March 10, 2023.**

NARA plans to post your 2022 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 on our website.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- 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 2022 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.

NARA may follow up with agencies to obtain additional information and/or documentation related to responses provided in the template.

As in previous years, we will be validating selected questions and responses from agencies. Your agency may be selected at random to provide additional documentation and/or take part in interviews to discuss your records management program activities.

Provide the following information (required):

- Name of SAORM:        Diana Andrews
- Position title:        Senior Advisor
- Address:        6401 Security Blvd, Ste 3000 Robert M. Ball Building

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 indicate any that are new or have been changed due to reorganization or other circumstances.*

   *Social Security Administration (SSA's) Response:*

   *As in previous years, this report covers the Social Security Administration in its entirety.*

2. **In response to the COVID-19 pandemic, have any of the temporary adaptations to agency business processes become permanent improvements to the management and preservation of electronic records?**

   ☒ Yes

☐ No
☐ Not applicable, no adaptations were needed
☐ Do not know

*Please explain your response. (If Yes, include details of the changes and why they became permanent. If No, or Do not know, please explain your answer.)*

*SSA's Response:*

*COVID 19 pandemic operations expanded agency telework thus accelerating the use of collaboration tools like SharePoint Online and Microsoft Teams and increasing the types and number of records that could be managed using built-in electronic records management features available in Microsoft 365.*

3. **Has your agency taken action to meet the goal to manage, preserve and transfer all permanent records in an electronic format with appropriate metadata by June 30, 2024? (M-19-21, 1.2 and M-23-07, 1.1 and 1.2)**

☒ Yes
☐ No
☐ Do not know

*Please explain your response with specific actions taken, challenges and results.*

*SSA's Response:*

*Yes, we have taken action to meet the goal. However, modifying our systems and applications will likely extend beyond June 30, 2024.*

*The migration of legacy permanent electronic records from File Shares and SharePoint on premise to the Permanent Records Repository in Microsoft 365, and the modification of systems or applications to include retention and disposition capabilities will extend beyond June 30, 2024, as well as the effort to identify and digitize paper records.*

*However, we are making progress to implement the Manage Records Electronically (MRE) solution for permanent electronic records. 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 the MRE Permanent Record Transfer Utility using PowerShell scripts to provide export functionality to NARA.*
- *Developed reporting capabilities using Powershell scripts and Power BI for our electronic records stored in Microsoft 365.*
- *Configured the Permanent Records Repository (seven permanent record site collections) in February 2020 and finished in June 2020.*
- *Implemented Information Governance policies for the Permanent Record Repository.*
- *Published policy in the Administrative Instructions Manual System (AIMS) for permanent records stored in systems or applications, requiring that Electronic Records Management (ERM) functionality will be built into each system when practical.*
- *Began rollout of the Permanent Record Repository in May 2020 and completed 100% of that rollout to the entire agency in 2022.*
- *Purchased licenses for a migration tool to move permanent records and their associated metadata into the Permanent Records Repository while maintaining their original file creation date.*
- *Rolled out migration tool to 10 of 12 offices at the agency before the end of 2022.*
- *Revised the Records Management Questionnaire for the approval of new and modified software systems and applications that house permanent records.*
- *Record Management Staff (RMS) became a member of our Enterprise Architecture Assessments Stakeholders group.*

**4. Has your agency taken action to meet the goal to manage and preserve all <u>temporary</u> records in an electronic format by June 30, 2024? (M-19-21, 1.3 and M-23-07, 1.3)**

☒ Yes
☐ No
☐ Do not know

*Please explain your response with specific actions taken, challenges and results.*

### *SSA's Response:*

*Yes. The migration of temporary records from File Shares to SharePoint Online will take an estimated seven years to complete. Incorporating retention and disposition capabilities in systems and applications will take several years beyond June 30, 2024. We will continue to work to incorporate the capabilities as legacy systems and applications come up for renewal or replacement and incorporate the capabilities as new systems and applications are developed. The effort to identify and digitize analog records may go beyond June 30, 2024.*

*However, we have 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 in accordance with applicable policies and regulations.*
- *Enabled the management of temporary electronic records in SharePoint Online and other Microsoft 365 products (such as SharePoint, OneDrive and Teams) by creating and applying Information Governance policies using Microsoft Purview.*
- *Established RMS as a stakeholder in the Enterprise Architecture review of systems and applications.*
- *Enabled retention of chats and messages in Microsoft Teams.*

5. **Will your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 to close agency-operated records storage facilities and transfer inactive, temporary records to Federal Records Centers or commercial records storage facilities by June 30, 2024?**

☐ Yes
☒ No
☐ Not applicable, all records are in electronic format
☐ Do not know

*Please explain your response with specific actions taken, challenges and results.*

*SSA's Response*:

*In February 2020, the SAORM submitted justification requesting an exception to keep our National Records Center (NRC) operating and housing records. We have subsequently received a formal reply from Laurence Brewer dated November 9, 2022, requesting that we provide additional and specific clarification on legal/litigation related claims at the NRC as well as how we plan to transition using digital records so that we can determine how long we will need to operate the NRC. The Deputy Commissioner for Operations (DCO) will provide detailed information on how we plan to proceed so that NARA (in conjunction with OMB) can adjudicate our request. For the records housed in the Records Holding Area (RHA) in our Perimeter East Building (PEB), we plan to transfer the records held there to the Federal Records Center no later than June 30, 2024.*

6. **Does your agency have policies and procedures that incorporate records management into the information governance (IG) framework for information, data, and other agency information management? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, Records Management (RM) Staff, Security, Privacy Officers, and FOIA)**

*Note: The incorporation of records management into information governance is part of the framework covered by OMB Federal Data Strategy - A Framework for Consistency (M-19-18) as it provides a vision for managing and using federal data, along with recordkeeping*

*requirements included in OMB Circular A-130, Managing Information as a Strategic Resource.*

☒ Yes
☐ No
☐ Do not know

*Please explain your response and provide details about how your agency's policies enhance IG and RM's role or relationship to it.*

*SSA's Response:*

*As of 2018, we have established the Records and Information Management Stakeholder Governance Council (RIMSGC) with representation from all agency 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 meet 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 Chief Data Officer (CDO).*

**7. Has your agency developed policies and procedures to ensure the capture and preservation of electronic messages, including when hardware or software is upgraded?**

*Note: Electronic messages means electronic mail and other electronic messaging systems that are used for purposes of communicating between individuals. Electronic messages that satisfy the definition of a federal record under the Federal Records Act are electronic records. This includes email, text messages, chat messages, voicemail, social media posts, and other similar applications. (See: Email Management and CFR 1236: Electronic Records Management)*

☒ Yes
☐ No
☐ Do not know

*Please explain your response and include details of your agency's methods to capture and preserve electronic messaging records or challenges preventing you from doing so.*

*SSA's Response:*

*We have made progress towards managing all temporary records in electronic format. To date, the MRE Product Team has:*
- *Enabled retention of chats and messages in Microsoft Teams.*
- *Implemented the Capstone approach for emails in Microsoft Exchange.*
- *Developed a Bot to copy email attachments that are identified by staff as permanent records to the Permanent Record Repository.*
- *Began investigating third party and carrier-based solutions for managing text messages.*

8. **Is your agency using or exploring cognitive technologies to identify records and distinguish between temporary and permanent retention?**

*Note: Cognitive technologies generally describe automated technologies that can be applied to recordkeeping practices and procedures. These include Artificial Intelligence, Robotic Process Automation, Software Robot or Bot, and other machine learning technologies.*

☐ Yes
☒ No
☐ Do not know

*Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)*

*SSA's Response:*

*We are in the early stages of researching cognitive technologies.*

9. **Do you as SAORM regularly oversee and evaluate the effectiveness of your records management program and its compliance with statutes and regulations?**

☒ Yes
☐ No
☐ Do not know

*Please explain your response including what specific measures you have incorporated into the SAORM role.*

*SSA's Response:*

*Yes, I host monthly meetings with the Records Management Leads which includes the ARO and the MRE Product team. I work closely with these subject matter experts to assess if we are meeting Federal directives and what necessary resources are needed and/or available to further the mission of managing and transitioning to electronic records.*
- *We conduct at least three (3) component surveys (inventories) each year.*
- *We provide annual mandatory training for all agency employees, DDS employees, and contractors.*
- *File plans are updated annually to ensure that records schedules are current.*
- *We are in the process of working with our Appraisal Archivist and NARA's Records Management Consulting Services to define and finalize our Buckets, as well as two stand-alone records schedules for the Office of Inspector General (OIG) and SS-5 microfilm records. Appraisal meetings by NARA commenced January 2022 and are ongoing.*

**10. Is there specific policy or guidance you need from NARA to support the strategic direction of your records management program?**

☒ Yes
☐ No
☐ Do not know

*Please explain your response and include any comments on existing, pending, and future topics.*

*<u>SSA's Response</u>:*

*We are waiting for the final regulation for permanent records digitization standards and electronic (cloud) transfer guidelines for permanent records to be released.*

**11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?**

☒ Yes
☐ No
☐ Do not know

*Please explain your response and include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions.*

*<u>SSA's Response:</u>*

*As appropriate, we recommend that NARA continue to research the use and capture of chats in MS Teams for inclusion in GRS 6.1.*