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.

The reporting period begins on March 11, 2019 with reports due back to NARA no later than April 19, 2019.

NARA plans to post your 2018 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 progress through December 31, 2018.
- 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 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 and its components making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

   X Yes
   ☐ N o

   Please explain your response: MSPB is working on meeting this goal by December 31, 2019. The Office of the Clerk of the Board and the Office of Information Resources Management continue to work jointly and collaboratively to achieve this goal by the mandated date.

3. **Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its** *[Criteria for Successfully Managing Permanent Electronic Records](March 2018)*?

   X Yes
   ☐ N o

   Please explain your response: MSPB is continuing the efforts it initiated last year to review all eligible permanent records to determine if they can be digitized.

4. **As included in the Administration's** *[Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](June 2018)*, **NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

   The Reform Plan states:
   Transition to Electronic Environment: *Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This*

would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

> X Yes
> ☐ No

Please explain your response (include specific goals and example metrics): MSPB continues to make strides in transitioning to all-electronic recordkeeping for its permanent and temporary records. Historically, MSPB's most significant use of NARA's Federal Records Centers has been for storage of temporary records for its appeal adjudication function. However, since 2014, MSPB has iteratively expanded the use of electronic records for appeals, with the goal of achieving 100% electronic records by 2022. Additionally, MSPB continues to expand its use of electronic recordkeeping for other records series.

5. **Is your agency utilizing General Service Administration's Schedule 36 to procure solutions to assist in transitioning to an Electronic Environment?**

> ☐ Yes
> X No

Please explain your response: In FY 2018, MSPB issued a solicitation to modernize its legacy core business applications. The requirements state that the system shall comply with all applicable records management laws, regulations, and NARA records policies.

6. **Have you, as the SAORM, established or improved your agency procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?**

> ***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.

> X Yes
> ☐ Changes were unnecessary (click here for your agency's 2017 report)
> ☐ No, changes are being considered but have not been made
> ☐ No

Please explain your response: In FY 2018, we developed and implemented a records briefing for incoming senior officials, and we continued to provide exit briefings for senior officials who departed in FY 2018.

7. **Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

        X Yes
        ☐ No

Please explain your response: MSPB's senior leadership continues to support the growth and resources required for a successful records management program.

8. **Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: *Agency Records Management Training Requirements*](#))**

        X Yes
        ☐ No

Please explain your response: In FY 2018, MSPB provided general records management training to all employees and contractors. The Records Officer also provided targeted training to Capstone officials on email management and records responsibilities to incoming senior officials. The SAORM provided information to all employees about responsibilities in managing email records.

9. **Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

        X Yes
        ☐ No

Please explain your response: In 2018, MSPB's new Records Officer coordinated with MSPB's program offices to conduct a records inventory, update file plans, and review current schedules and identify where updated schedules are needed.

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

        ☐ Yes
        X No

Please explain your response: At this time, MSPB is focused on efforts to modernize its legacy core business applications; however, MSPB will solicit assistance from NARA as needed once the modernization process is underway. 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.