The OMB/NARA *Managing Government Records Directive* (M-12-18) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report to NARA. This report demonstrates how your organization is achieving the goals of the *Directive* and other important initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in meeting the goals of the *Directive*, including implementing proper email management and transitioning to electronic recordkeeping. Additionally, NARA uses the report for information sharing purposes to provide best practices and model solutions with Federal agencies.

The reporting period begins on January 9, 2017 and reports are due back to NARA no later than March 17, 2017.

NARA plans to post your 2016 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.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- 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 PRMD@nara.gov. Include the words "SAORM annual report" 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   **Tom Grzymski**

Position title   **Assistant Deputy Commissioner for Systems/
                       Senior Agency Official for Records Management**

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Email

1.   **What agencies, bureaus, components, or offices are covered by this report
      and your position as SAORM?**

      Social Security Administration (SSA's Response):
      This report covers the Social Security Administration

2.   **Did your agency and components meet the M-12-18, target goal 1.2 to
      manage all email records in an electronic format by December 31, 2016?
      (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)**

                    ☐**Yes**
                    ☐No

      (Please note: Through a separate reporting request we will be asking your agency records officers
      to provide additional information regarding compliance with this target according to the email
      success criteria published by NARA in April 2016. *Criteria for Managing Email Records in
      Compliance with the Managing Government Records Directive (M-12-18*)

3.   **Did your agency and its components meet the M-12-18 target deadline to
      schedule all existing paper and non-electronic records by December 31,
      2016? (M-12-18, Part I, Section 2.5)**

                    ☐Yes
                    ☐**No**

      If No, please list which part of your agency or components did not and why?

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SSA's Response:

- We are working to implement a flexible scheduling initiative (Big Bucket Schedules) for all permanent, temporary, and unscheduled records. While undergoing this effort, NARA directed us not to submit to NARA new records schedules until we finalize the new Flexible Schedules for approval, unless absolutely necessary. We are working with NARA to submit all unscheduled paper and non-electronic records with our Flexible Schedules in this current fiscal year.

4. **Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)**

<p style="text-align:center">☒Yes
☐No</p>

If Yes, please describe this progress.

SSA's Response:

- Electronic Records Policies

    o We recently implemented an electronic records policy, which requires that electronic records management and archival functionality be built into new and existing systems. To accomplish this, we developed a Records Management Questionnaire (RMQ) to be filled out for all new systems to ensure records management and archival functionality are built into the design, development, and implementation of our systems. The information compiled in the RMQ enables us to assign retention authorities to the permanent records generated by our information systems.

- Electronic Management of Assignments and Correspondence

    o As previously reported, in fiscal year 2014, we replaced our Assignments and Correspondence Tracking system with the Electronic Management of Assignments and Correspondence (EMAC) system. EMAC contains permanent correspondence records, in addition to all metadata associated with the correspondence.

- Flexible Scheduling Initiative (Big Bucket Schedules)

    o We are working on a flexible scheduling approach, which will utilize a "Big Bucket" scheduling approach to scheduling multiple related series of records, including in electronic systems. This approach should facilitate successful automation and management of the agency's permanent electronic records.

- Permanent Records Survey

  o As previously reported, in 2013, we performed a permanent records survey of SSA components. The goal of the survey was to discern who creates permanent records and where the records are stored. The survey results indicated that most of our permanent records are stored electronically. We continue to use the results to work with components to automate preservation of the permanent electronic records.

  o Based on the results, we determined the need to conduct a follow-up agency-wide survey, which is ongoing. Our goal is to obtain additional information to help identify how the agency currently manages permanent records.

5. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

☑**Yes**
☐No

Please describe your specific plans or actions.

SSA's Response:
- Yes, we are developing plans and taking actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats. We have found digitizing thousands of rolls of microfilm that contain enumeration application data a challenge. It will take several years to digitize all of the microfilm that is steadily deteriorating. We are currently working with NARA to evaluate the condition of the film, storage, and digitization of the microfilm.

- After assessing the microfilm, NARA will determine if they can approve the immediate transfer of the records because the record meets NARA's on-site retention requirements and their standards of proper "condition" requirements to transfer to NARA.

6. **Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)**

☑**Yes**
☐No

If yes, please describe what steps have been taken.

SSA's Response:

1. As SAORM for the Social Security Administration, I accept my responsibility for overall agency-wide records management processes.

2. The SSA Records Management (RM) program's activities include: annual reporting; conducting and making available findings of our component surveys and internal audits; creating and updating policies and procedures; and, creating and conducting RM training, which are key components of the agency's information resources management strategy. RM created a SharePoint site to help educate agency employees regarding their records management responsibilities. The SharePoint site is a user-friendly central hub for SSA employees to obtain RM information, and a public facing RM Open Government page that we use to post information about the agency's RM program.

3. SSA timely met goal 1.2 of M-12-18 to manage all email records in an electronic format by December 31, 2016. SSA adopted the Capstone Approach to managing email records. On November 4, 2016, the agency submitted to NARA form NA 1005, in which SSA designated senior official positions for Capstone purposes. We are managing the retention and disposition of email records in an electronic system, and emails are retrievable and accessible for litigation and other business needs. We continue to develop and implement plans to manage all permanent records electronically in accordance with the M-12-18 mandated 2019 deadline, of which Capstone is a piece of the overall plan.

4. We are working on streamlining the record scheduling and file plans, and updating agency-wide policies and procedures, to ensure that records are accessible, retrievable and managed throughout the lifecycle regardless of medium.

5. We are complying with the requirements of OMB Circular A-130 5.h by ensuring we treat agency records as information resources. We actively promote transparency, share communications throughout the agency on new policy, procedures, and mandates, as well as provide a central hub for all matters relating to records management on our RM site.

6. In 2017, we plan to submit our flexible records schedules to NARA for approval.

7. Quarterly, and in accordance with NARA-approved records schedules, we review and dispose of records that have reached the end of their retention period. For records stored at Federal Records Centers (FRC), we annually review the index of records to determine which records are eligible for transfer from the FRC to NARA for permanent preservation.

8. Annually, we conduct mandatory RM training for all current employees and contractors. For all incoming employees, we work with our Human Resources component to provide RM training. In addition, we offer individual and group-setting training to all our Records Management Coordinators and we have a library of Videos on Demand on various RM topics such as "Roles and Responsibilities, How to Create a File Plan, How to Conduct a Records Inventory, and How to Conduct a Component Compliance Survey."

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