



*Senior Agency Official for Records Management
2017 Annual Report*

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* 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 8, 2018 and reports are due back to NARA no later than March 16, 2018.

NARA plans to post your 2017 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, 2017.
- 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 - [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 **Nadine Tracht**
- Position title **Acting Associate Commissioner for Systems/Senior Agency Official for Records Management**
- Address **6401 Security Blvd
Baltimore, MD 21235-6401**
- Office telephone number **410-965-7121**

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. **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)**

Yes

No

Please explain your response:

SSA's Response:

Over the past two years, we worked with NARA Consulting Services to modernize our record schedules, using flexible schedules. We are reviewing final drafts of the flexible schedules internally and plan to submit for NARA approval in 2018. Flexible scheduling will assist our effort to automate the retention and disposition of our permanent records, in addition to our temporary records.

In 2017, we began conducting Market Research and GAP Analysis for the implementation of an Enterprise Content Management system to manage our permanent electronic records in electronic format. We continue work to develop an Enterprise Content Management implementation plan, address gaps, and prepare for the procurement of one or more solutions to manage our permanent electronic records.

3. 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 explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.

SSA's Response:

We are in the process of digitizing thousands of microfilm rolls containing permanent records.

- It will take several years to digitize all of the microfilm that is steadily deteriorating.
- We are working with NARA to evaluate the condition of the film, storage, and digitization of the microfilm.

In FY18, we will evaluate all other non-electronic permanent records and determine a solution for converting such permanent records to electronic format. Resource constraints may limit our ability to digitize or convert all non-electronic records.

4. OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?

Yes

No

Please explain your response:

SSA's Response:

We have Records Management Coordinators (RMC) in all agency offices. We have requested updated information on assigned RMCs after reorganizations. We provide ongoing support to all RMCs and training to any new RMCs on their role, to ensure records management requirements are understood.

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management <https://www.archives.gov/records-mgmt/bulletins/2017/2017-02.html>)

- Yes
 No

Please explain your response

SSA's Response:

- As SAORM for SSA, I accept my responsibility for overall agency-wide records management processes.
- Accompanied by the Agency Records Officer (ARO), I attend the bi-annual meetings at NARA on current and upcoming records management initiatives and challenges.
- SSA has met the December 31, 2016 goal of managing email records in an electronic format.
 - SSA designated senior official positions for Capstone purposes and on November 4, 2016, submitted the positions to NARA using form NA 1005.
 - 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.
- The SSA Records Information and Management (RIM) program:
 - Provides documentation of agency activities by complying with annual reporting, conducting and making available findings of our component surveys and internal audits.
 - Creates and updates policies and procedures.
 - Creates and conducts a variety of RIM training for all staff, including mandatory annual training, as well as training targeted for specific employees such as new hires, executives, Records Management Coordinators.
 - Maintains a library of Videos on Demand (VOD) on various RIM 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.
 - Maintains an internal SharePoint site, which is a user-friendly central hub for SSA employees to obtain RIM information, and a public facing RIM Open Government page that we use to post information about the agency's RIM program.
 - Reviews and disposes of records that have met their retention and ensures they are disposed of timely, on a quarterly basis and in accordance with NARA-approved records schedules.

- SSA is working to develop and implement plans to manage all permanent records electronically.
- SSA is working to finalize and submit our Flexible records schedules to NARA for approval.
- At the departure of our Senior Officials, the ARO conducts and documents for accountability purposes, exit briefings on the appropriate disposition of the records under their immediate control.

6. Have you, as the SAORM, ensured that 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.

- Yes
 No

Please explain your response:

SSA's Response:

Yes, we have ensured that all incoming and outgoing senior officials receive briefings on their records management responsibilities by providing policy instructions for records management and other recordkeeping requirements, the use of personal email, records management training VODs, as well as performing records management exit interviews of departing executives.

7. Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))?

- Yes
 No

Please explain your response:

SSA's Response:

Yes, we include the records management program and related requirements in our Records Management Administrative Instructions Manual System (AIMS) chapters 07.01-07.07, our AIMS Handbook sections, as well as our Records Management Comprehensive Program Guide.

Policy and Procedure – AIMS Chapters 07.01-07.07



AIMS RM Sections
Chapter 07.01 through

RM Handbook sections



RM Handbook.doc

RM Comprehensive Program Guide



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8. What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4).

SSA's Response:

- Funding and technical solutions (resources) – To have feasible technical solution available as well as ample personnel and resources to assist in meeting the mandates
- Collaborative efforts, dialogue and potential shared solutions between all federal agencies on how to successfully implement the 2019 goal and other electronic initiatives