



## *Senior Agency Official for Records Management 2018 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.

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](mailto: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: Nadine Tracht

Position title: Deputy Associate Commissioner for  
Systems/Senior Agency Official for Records  
Management

Address: 6401 Security Blvd, Baltimore, MD 21235-6401

- 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:*

**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:**

Yes, in 2017, we conducted Market Research and Gap Analysis for the implementation of an Enterprise Content Management system to manage our permanent electronic records in electronic format. We continuing to develop an Enterprise Content Management implementation plan, to address gaps, and to prepare for the procurement of one or more solutions to manage our permanent electronic records. We published a *Request for Information* for vendors that offer electronic records management solutions. We conducted internal product discovery sessions, customer discovery sessions, and architectural planning sessions. We are conducting an agency-wide inventory of all records stored in electronic applications.

We are also in the process of finalizing an internal research initiative that was started in 2018, to ensure that we understand where and how our permanent records are maintained. We will use the results of that research to streamline our approach to maintaining the

agency's permanent records. The results will also help each component within the agency better understand where and how its records (permanent and temporary) are created and afford for a more efficient disposition of those records.

We have also initiated a Community of Practice (C.o.P.) of Federal agencies to collaborate on and share their successes, best practices, and pain points in their approaches to meeting the December 2019 goal to manage all permanent electronic records in electronic format. Since the inception of the C.o.P., we have met three (3) times. This forum is different than the Federal Records Officers Network, Electronic Records Management, etc., workgroups, in that we focus primarily on how to meet the 2019 goal and other mandates set forth in M-12-18.

**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)?**

- Yes  
 No

*Please explain your response:*

**SSA's Response:**

- We are in the process of writing new and updating current policy on managing permanent records to align with the criteria and requirements in NARA's publication. Given this complex initiative to electronically manage permanent records, we are also putting in place vigorous training modules.
- With our solution to Goal 1.1 of M-12-18, we will ensure we have policies in place for effectively managing permanent records, ensure our systems can effectively make records accessible and execute disposition.
- We are investigating solutions that will control our permanent electronic records and transfer them to NARA. We have developed records management requirements for implementing an electronic records solution.
- We are working to develop an architecture that will ensure administrative functions are properly assigned to make sure records are accessible, retrievable, searchable, managed throughout the lifecycle and protected against unauthorized alteration, use and deletion.
- We are evaluating solutions that will provide automated governance, agency-specific records schedules, and disposition.
- We are inventorying the agency's permanent records, meeting with components (stakeholders) who own and create permanent records, locating permanent records to ensure they are stored according to required criteria, and transferring permanent records to NARA once their onsite business need is met in accordance to the disposition instructions in the NARA-approved records schedule.

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.*

- Yes  
 No

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

**SSA's Response:**

We are inventorying the paper records stored onsite at our Records Holding Area and Federal Records Centers to make sure that if the records schedule requires transfer to NARA, that they are accessioned prior to the December 31, 2022 cut off.

5. Is your agency utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

- Yes  
 No

*Please explain your response:*

**SSA's Response:**

We are researching a number of options to comply with the mandates issued concerning Federal records to ensure that we apply a solution that is capable of addressing the unique needs of the agency.

After the agency weighs and narrows the available options, we will consider contractors under Schedule 36, Special Item Number (SIN) 51 600.

**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.

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:*

**SSA's Response:**

Yes, we have ensured that all incoming and outgoing senior officials receive briefings on their records management responsibilities. In addition, we provide written policy instructions for records management, other recordkeeping requirements, and the use of personal email.

**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](#))**

Yes

No

*Please explain your response:*

**SSA's Response:**

- The SAORM and the Agency Records Officer (ARO) attend bi-annual meetings at NARA on current and upcoming records management initiatives and challenges.
- SSA 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, including mandatory annual training for all employees, and training targeted for specific employees such as new hires, senior officials, and 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 has submitted our draft 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 records under their immediate control.

**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](#))**

Yes

No

*Please explain your response:*

**SSA's Response:**

The annual mandatory records management training for all SSA employees will be released in Video on Demand format in Spring 2019.

In Fall 2018, our SAORM, met with our Office of Disability Determinations to ensure that the annual mandatory training for all SSA employees was relevant to Disability Determination Services (DDS) employees who are State employees performing Federal duties and responsibilities. To prevent overburdening DDS employees with non-relevant training, we created a new and separate training tailored specifically for DDS employees, which will be released in Spring 2019.

Additionally, we are working with our Office of Acquisition and Grants to develop a contractor clause that will make records management training mandatory for all contractors.

- 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?**

- Yes  
 No

*Please explain your response:*

**SSA's Response:**

In March-April 2018, NARA's Records Management Consulting Services performed a Records and Information Management Assessment of our Records Management Program using the Records Management Maturity Model tool. We received several high-level recommendations and best practices on areas to improve. Our SAORM and members of the Records Management staff met with Associate Commissioners and Deputy Associate Commissioners, agency-wide to inform them of the results of the Mid-Level Assessment and how as an agency we will move forward to implement the recommendations to improve SSA's RIM program.

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

- Yes  
 No

*Please explain your response:*

**SSA's Response:**

Anticipated support from NARA includes:

- Funding and technical solutions (resources) – To have feasible technical solutions available and 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.