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 and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

The reporting period begins on January 13, 2020, with reports due back to NARA no later than March 13, 2020.

NARA plans to post your 2019 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 records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- 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 2019 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

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 SSA.

2. **Is your agency managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

   ☐ Yes
   X No

   Please explain your response:

   SSA's Response:
   SSA made progress towards this goal with a few initiatives that began several years ago. We conducted an extensive review of our record schedules and drafted "Bucket Schedules" in an effort to normalize retentions for an automated system to manage permanent electronic records. We formally submitted the "Bucket Schedules" to NARA in 2019. We conducted a survey to identify components within SSA that create and manage permanent records, and to understand the format and storage location of the records. In addition, we initiated an effort to update all file plans. We will compare the updated file plans with agency record schedules, and GRS schedules, containing permanent records and the survey. Additionally, SSA is developing the Manage Records Electronically (MRE) product, which will leverage the features and functionality of Microsoft SharePoint 365 to manage the agency's permanent records. The agency will use MS Office 365 Security and Compliance Center to electronically implement record management policies using retention labels. We plan to manage all the agency's permanent records electronically by the end of 2022.

3. **Has your agency made progress towards managing all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

 X Yes
 ☐ No

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

SSA's Response:
SSA is making progress to implement the Manage Records Electronically (MRE) solution for permanent electronic records by December 2020. 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 Office365) as the primary repository for the agency's permanent electronic records.*
- *Configured and tested permanent record site collections in SharePoint Online.*
- *Developed PowerShell scripts to provide functionality to SharePoint Online until third party Electronic Records Management (ERM) tools can be implemented.*
- *Deployed the first of eight permanent record site collections (for Legal records) in February 2020.*
- *Decided that for permanent records stored in systems or applications, ERM functionality will be built into each system when practical.*
- *Drafted ERM policy for permanent electronic records.*

4. **Has your agency made progress towards managing all <u>temporary</u> records in electronic format? (M-19-21, 1.3)**

 X Yes
 ☐ No

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

SSA's Response:
Yes, SSA has 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.*

- *Begun developing requirements for managing temporary records, due before the end of 2020.*
- *Begun drafting a plan to start implementing its solution for managing temporary electronic records in 2021/2022, leveraging SharePoint Online and other Office365 products (such as OneDrive and Teams).*

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)**

X Yes
☐ No

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

SSA's Response:

As SAORM, I have taken measures to ensure that:
- *we have a 10-year plan to conduct component surveys agency-wide;*
- *we enhance our required annual Records and Information Management (RIM) training for employees and contractors to include stakeholder input and specificity;*
- *our RIM policy and procedures are current; and*
- *ensure that our Agency Records Officer (ARO) is NARA certified and continuously works closely with NARA for the approval of our records schedules (Buckets).*

As recommended by NARA's mid-level assessment completed in 2018, I have created the RIM Stakeholder Governance Council that provides oversight and governance of SSA's RIM program ensuring that we meet NARA/OMB directives as well as SSA program objectives and performance goals.

6. **If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)**

X Yes
☐ No

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

SSA's Response:
Though NARA has not provided guidance for exception requests, SSA submitted to NARA (2/20/2020) an exception request not to close all agency-operated records centers,

specifically our National Records Center (NRC) in Missouri. We expect to meet the deadline of December 2022 for any other agency-operated facilities that are closing.

7. Does your agency have procedures that include documentation to ensure records of outgoing senior officials* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?

*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
☐ No

Please explain your response (include specific details of procedures):

<u>SSA's Response</u>:
Yes, our agency has procedures that include documentation to ensure records of outgoing senior officials are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email. 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 videos on demand, as well as performing records management exit interviews of departing executives.

8. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?

X Yes
☐ No

Please explain your response (include details of specific challenges, if applicable):

<u>SSA's Response</u>:
The challenges that exist relate to having the resources and budget to meet M-19-21 requirements such as managing permanent and temporary electronic records electronically, digitizing paper records by 2022, ceasing the use of agency-operated storage facilities, etc.

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

   X Yes
   ☐ No

   Please provide details on what support is needed:

   SSA's Response:
   - *Funding and technical solutions (resources) – To have feasible technical solutions available and ample personnel and resources to assist Federal agencies in meeting the mandates.*
   - *Collaborative efforts, dialogue and potential shared solutions between all Federal agencies on how to successfully implement M-19-21 and other electronic initiatives.*