



Senior Agency Official for Records Management 2022 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.

On June 28, 2019, the Office of Management and Budget (OMB) and NARA issued a memorandum, *Transition to Electronic Records* ([M-19-21](#)), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines.

On December 23, 2022, OMB and NARA issued a new memorandum, *Update to Transition to Electronic Records* ([M-23-07](#)) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33.

This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

The reporting period begins on January 9, 2023, and reports are due back to NARA no later than March 10, 2023.

NARA plans to post your 2022 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 on our website.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- 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 rmsselfassessment@nara.gov. Include the words “SAORM 2022 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.

NARA may follow up with agencies to obtain additional information and/or documentation related to responses provided in the template.

As in previous years, we will be validating selected questions and responses from agencies. Your agency may be selected at random to provide additional documentation and/or take part in interviews to discuss your records management program activities.

Provide the following information (required):

- Name of SAORM: William D. Spencer
- Position title: Executive Director
- 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 provide a list and indicate any that are new or have been changed due to reorganization or other circumstances.

U.S. Merit Systems Protection Board

2. In response to the COVID-19 pandemic, have any of the temporary adaptations to agency business processes become permanent improvements to the management and preservation of electronic records?

- Yes
- No
- Not applicable, no adaptations were needed

Do not know

Please explain your response. (If Yes, include details of the changes and why they became permanent. If No, or Do not know, please explain your answer.)

The vast majority of MSPB's temporary records consist of appeal files that support our adjudicatory mission. During the pandemic, MSPB accelerated a shift that was already underway to create and maintain appeals records in electronic form and transitioned the process into a requirement in FY 2021 by implementing a policy requiring that all newly-docketed appeals are managed in electronic format. MSPB also digitized paper records during the pandemic when needed by other Federal agencies, and shared the records through secure file-sharing platforms subject to routine uses; this process has become the default method for external sharing of our appeals records.

3. Has your agency taken action to meet the goal to manage, preserve and transfer all permanent records in an electronic format with appropriate metadata by June 30, 2024? (M-19-21, 1.2 and M-23-07, 1.1 and 1.2)

Yes

No

Do not know

Please explain your response with specific actions taken, challenges and results.

MSPB has taken action to meet the goal to manage, preserve and transfer all permanent records in an electronic format with appropriate metadata by June 30, 2024. MSPB is nearing development of its next-generation case management and document management system, which is targeted for implementation at the end of FY 2023. The majority of MSPB's permanent records will be stored in the new document management system. MSPB's records management, IT, and program staff have had initial discussions of the requirements to ensure permanent records have appropriate metadata, and will continue this effort post-deployment of the new system to configure records management controls appropriately.

4. Has your agency taken action to meet the goal to manage and preserve all temporary records in an electronic format by June 30, 2024? (M-19-21, 1.3 and M-23-07, 1.3)

Yes

No

Do not know

Please explain your response with specific actions taken, challenges and results.

The vast majority of MSPB's temporary records consist of appeal files that support our adjudicatory mission. In FY 2021, MSPB implemented a policy requiring that all newly

docketed appeals must be managed in electronic format. However, MSPB continues to have a sizeable collection of appeals records in paper format that resulted from MSPB's five-year lack of quorum that took place between January 2017 and March 2022. MSPB has allocated resources to convert these temporary records to electronic format where resources allow, but the volume is too large given limited resources to facilitate this effort for the entire collection of these records. Additionally, MSPB's effort in FY 2022 and FY 2023 to complete the development of its new enterprise case management and document management system has limited the ability of records management staff to undertake an agency-wide effort to inventory other categories of temporary records to ensure progress on meeting the goals of M-19-21 and M-23-07. MSPB's records management staff will focus on the inventory effort post-deployment of this new system in late FY 2023 and early FY 2024.

5. Will your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 to close agency-operated records storage facilities and transfer inactive, temporary records to Federal Records Centers or commercial records storage facilities by June 30, 2024?

- Yes
 No
 Not applicable, all records are in electronic format
 Do not know

Please explain your response with specific actions taken, challenges and results.

MSPB does not maintain any agency-operated records storage facilities. Currently, MSPB transfers inactive, temporary records only to the Federal Records Centers, and this activity has been steadily decreasing over the years as MSPB has transitioned to managing new records in electronic format.

6. Does your agency have policies and procedures that incorporate records management into the information governance (IG) framework for information, data, and other agency information management? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, Records Management (RM) Staff, Security, Privacy Officers, and FOIA)

Note: The incorporation of records management into information governance is part of the framework covered by [OMB Federal Data Strategy - A Framework for Consistency \(M-19-18\)](#) as it provides a vision for managing and using federal data, along with recordkeeping requirements included in [OMB Circular A-130, Managing Information as a Strategic Resource](#).

- Yes
 No
 Do not know

Please explain your response and provide details about how your agency's policies enhance IG and RM's role or relationship to it.

MSPB's records management program is part of MSPB's information services team, which comprises the agency's records, privacy, and FOIA programs and facilitates and communication between the different disciplines. While MSPB does not yet have established policies to support an information governance framework, the records management program works closely with agency leaders such as the CIO, CDO, SAORM, and CISO on any information management matters.

7. Has your agency developed policies and procedures to ensure the capture and preservation of electronic messages, including when hardware or software is upgraded?

Note: Electronic messages means electronic mail and other electronic messaging systems that are used for purposes of communicating between individuals. Electronic messages that satisfy the definition of a federal record under the Federal Records Act are electronic records. This includes email, text messages, chat messages, voicemail, social media posts, and other similar applications. (See: [Email Management](#) and [CFR 1236: Electronic Records Management](#))

- Yes
 No
 Do not know

Please explain your response and include details of your agency's methods to capture and preserve electronic messaging records or challenges preventing you from doing so.

MSPB has implemented the Capstone approach for capturing and dispositioning agency email records. MSPB is currently weighing options for utilization of the expanded capacity within GRS 6.1 to capture electronic messages.

8. Is your agency using or exploring cognitive technologies to identify records and distinguish between temporary and permanent retention?

Note: Cognitive technologies generally describe automated technologies that can be applied to recordkeeping practices and procedures. These include Artificial Intelligence, Robotic Process Automation, Software Robot or Bot, and other machine learning technologies.

- Yes
 No
 Do not know

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

While MSPB is aware of NARA's whitepaper on cognitive technologies, we have no immediate plans to utilize any technology to identify records and distinguish between temporary and permanent retention.

9. Do you as SAORM regularly oversee and evaluate the effectiveness of your records management program and its compliance with statutes and regulations?

Yes

No

Do not know

Please explain your response including what specific measures you have incorporated into the SAORM role.

Yes. I communicate regularly with MSPB's designated Records Officer to evaluate the effectiveness of the program and am involved in reviewing and approving records management policies and other agency initiatives that implicate records management. Additionally, I receive regular briefings on staff compliance with MSPB's annual records management training and provide SAORM support as needed to achieve 100% compliance. Finally, I keep abreast of communications from NARA's Chief Records Officer and routinely communicate with MSPB's Records Officer to ensure MSPB's compliance with statutes, regulations, and directives.

10. Is there specific policy or guidance you need from NARA to support the strategic direction of your records management program?

Yes

No

Do not know

Please explain your response and include any comments on existing, pending, and future topics.

MSPB is interested in case studies of small agencies that have successfully transitioned to fully electronic recordkeeping. Additionally, MSPB is interested in exploring shared services agreements with other agencies to meet the requirement to transition to fully electronic recordkeeping.

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

Yes

No

Do not know

Please explain your response and include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions.