



## *Senior Agency Official for Records Management 2023 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 8, 2024, and reports are due back to NARA no later than March 8, 2024.**

NARA plans to post your 2023 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.

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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](mailto:rmsselfassessment@nara.gov). Include the words “SAORM 2023 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 \_\_\_\_\_

**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 (MSPB)

**2. Will your agency 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  
 Not applicable, all records are in electronic format

*If ‘No,’ why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)*

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While 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's ongoing information technology (IT) modernization efforts have impacted its ability to meet this goal. MSPB launched its cloud-based, next-generation electronic filing, case management, and document management system (e-Appeal) at the beginning of fiscal year (FY) 2024, which stores most of the agency's temporary records related to its adjudicatory mission. However, development efforts for e-Appeal to store the majority of MSPB's permanent records were delayed and will not be completed until FY 2025. Additionally, MSPB will continue efforts through FY 2024 to complete its network transformation efforts to fully support a cloud-based environment, which impacts some MSPB permanent records. MSPB's records management, IT, and program staff continue to engage in discussions of the requirements of M-19-21, 1.2, and M-23-07, 1.1 and 1.2, to ensure MSPB is positioned to manage, preserve, and transfer all permanent records in an electronic format with appropriate metadata once it completes these significant modernization efforts. In light of these ongoing efforts, MSPB is determining whether to submit an exception request for M-23-07, 1.2.

**3. Will your agency 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

Not applicable, all records are in electronic format

*If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)*

The vast majority of MSPB's temporary records are appeal files related to the agency's adjudicatory mission. In FY 2021, MSPB implemented a policy requiring that all newly docketed appeals must be filed in electronic format. However, MSPB continues to have a sizeable collection of appeal records in paper format that are still being adjudicated and which accrued during the five-year lack of a Board quorum between January 2017 and March 2022. MSPB has allocated what limited resources it has available to convert these temporary records to electronic format, but the volume is too large to convert the entire collection of these records. Additionally, MSPB's significant effort in FY 2023 to develop and deploy its new e-Appeal 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. Now that e-Appeal is deployed, MSPB's records management staff will focus on the inventory effort in FY 2024. For the foregoing reasons, MSPB expects to submit an exception request for M-23-07, 1.3.

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4. **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 by June 30, 2024? (Choose all that apply)**

- Yes
- No
- Not applicable, my agency does not have agency-operated records storage facilities
- Not applicable, all records are in electronic format

*If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)*

5. **Will your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 and transfer inactive records to a NARA Federal Records Center (FRC) or commercial storage facilities by June 30, 2024? (Choose all that apply)**

- Yes, we will transfer to the FRC
- Yes, we will transfer to commercial storage facilities
- No
- Not applicable, all records are in electronic format

*If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)*

6. **Does your agency have a Data Management Strategy that includes records management principles? (<https://www.archives.gov/files/records-mgmt/resources/cdo-rm-assessment-report.pdf>)**

- Yes
- No

*Please explain your response.*

Primary responsibility for MSPB's records management program is part of the Information Services Team (IST) within the Office of the Clerk of the Board. IST comprises the agency's records, privacy, and FOIA programs, and it facilitates communication between the different disciplines and provides enterprise-wide guidance and leadership for records management. While MSPB does not yet have established policies for records management principles within a Data Management Strategy, the records management program works closely with senior agency leaders, including the Clerk of the Board, the Chief Data Officer, the Chief Information Officer, and the SAORM on any information management matters.

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**7. In your role as SAORM, do you meet with your Agency Records Officer(s) to discuss the agency records management program's goals?**

Yes

No

Not applicable, my agency does not currently have a designated Agency Records Officer

*Please explain your response. (If 'Yes,' please include how often, a description of topics, and outcomes of these meetings. If 'No,' please explain why not.)*

Yes. As SAORM, I communicate regularly about the agency's records management program goals with the Clerk of the Board, who provides day-to-day executive direction over the records program, and the Deputy Clerk of the Board and the Director of Information Services who provide day-to-day supervision of the records program and the Records Officer.

**8. Has your agency incorporated NARA's digitization standards into your Information Resource Management (IRM) Strategic Plan? (44 U.S.C. 3506(b)(2) and OMB Circular A-130)**

Yes

No

Not applicable, my agency is not currently digitizing records

*Please explain your response. (If 'Yes,' what steps have been taken? If 'No,' why not?)*

While MSPB has not yet developed formal internal guidance for digitization, MSPB has incorporated digitization standards guidance from NARA regulations into our Electronic Case File Policy implemented in FY 2021. MSPB relied on NARA guidance allowing for source records to be disposed, and for subsequent exact copy digitized versions to become the official records following robust quality assurance.

**9. Does your agency have a social media strategy that includes capturing and maintaining records in accordance with records management statutes and regulations?**

Yes

No

*Please explain your response.*

MSPB reviews NARA bulletins and guidance documents, including Bulletin 2014-02, "Guidance on managing social media records," as it pertains to managing our agency's social media records. MSPB maintains a limited social media presence with only one

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official agency account with a controlled content moderator. MSPB has circulated for review an agency social media policy, and we will work to develop a social media strategy and incorporate guidance for capturing and maintaining social media records.

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

Yes

No

*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.