



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.

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 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: Rachel Dumser
- Position title: Associate Commissioner for Office of the Chief Information Officer

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.

Social Security Administration Response:

This report covers all the components of the Social Security Administration (SSA).

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.)

SSA Response:

Modifying our systems and applications will likely extend beyond June 30, 2024. Current and day-forward permanent records are being managed in the Permanent Records Repository in SharePoint Online.

The migration of older, legacy permanent electronic records from File Shares and SharePoint on premise to the Permanent Records Repository is underway, and the modification of systems or applications to include retention and disposition capabilities will extend beyond June 30, 2024, as well as the effort to identify and digitize analog records.

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.)

SSA Response:

The migration of temporary records from File Shares to SharePoint Online is ongoing and will take several years to complete. Incorporating retention and disposition capabilities in systems and applications will take several years beyond June 30, 2024. We will continue to incorporate the capabilities as legacy systems and applications come up for renewal or replacement, and incorporate the capabilities as new systems and applications are developed. The effort to identify and digitize analog records will go beyond June 30, 2024.

However, we have made progress towards managing all temporary records in electronic format. To date, the Manage Records Electronically (MRE) Product Team has:

- Created a comprehensive agency-wide inventory of all systems and applications currently in use.*
- Developed a plan for managing temporary records in accordance with applicable policies and regulations.*
- Implemented and applied Information Governance policies to manage temporary electronic records in SharePoint Online and other Microsoft 365 products (such as OneDrive and Teams).*

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- *Established records management as a stake holding consideration in the Enterprise Architecture review of systems and applications.*
 - *Enabled retention of chats and messages in Microsoft Teams.*
 - *Investigated, tested, and implemented migration tools and strategies to move records in File Shares into Microsoft 365.*

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.)

SSA Response:

In February 2020, the SAORM submitted justification requesting an exception to keep our National Records Center (NRC) operating and housing records. We subsequently received a formal reply from NARA, dated November 9, 2022, requesting that we provide additional and specific clarification on legal/litigation related claims at the NRC as well as describing how we plan to transition using digital records and how long we will need to operate the NRC. On October 18, 2023, the Deputy Commissioner for Operations (DCO) via the SAORM sent to NARA our commitments pertaining to claim responsibilities in the context of legal proceedings, emphasizing the criticality of the NRC's strategic positioning and cost-effectiveness in ensuring unparalleled service quality. In addition, the DCO communicated how we have implemented a seamless transition towards an electronic ecosystem that enhances our operational efficiency, and describes how we plan to proceed so that NARA (in conjunction with OMB) can adjudicate our request. For the records housed in the Records Holding Area in our Perimeter East Building, we plan to transfer the records held there to a NARA Federal Records Center (FRC) no later than June 30, 2024.

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.)

SSA Response:

For the inactive records housed throughout the agency, we are transferring them to the appropriate FRCs on a regular basis and will complete the transfers by June 30, 2024.

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.

SSA Response:

The SAORM serves on the agency Data Governance Board, which allows direct collaboration with our Data Governance Officer and Chief Data Officer. In 2018, we established the Records and Information Management Stakeholder Governance Council (RIMSGC) with representation from all agency components to offer insight and oversight of records management and work closely with our Records Management Staff and Agency Records Officer. We convene the RIMSGC as needed to keep the organization abreast of projects, processes, and new developments affecting records management.

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.)

SSA Response:

As the SAORM, I host monthly and impromptu meetings with the records management leads, which include the Agency Records Officer and the MRE Product team to go over program goals. I work closely with these subject matter experts to assess if we are meeting Federal directives and what resources are needed and/or available to further the mission of managing and transitioning to electronic records. I ensure that we conduct at least three component surveys (inventories) each year, that our annual mandatory

training for all employees and contractors is current and completed, that our agency's file plans are updated annually, and that records schedules are current. We continue to work with the Appraisal Archivist and NARA's Records Management Consulting Services to define and finalize our Buckets, as well as two stand-alone records schedules for the Office of the Inspector General (OIG) and SS-5 microfilm records.

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?)

SSA Response:

While OMB no longer requires submission of the IRM, the agency publishes a strategic plan to meet the intent of the IRM and guide our IT modernization efforts. The latest modernization plan is published on our public-facing SSA.gov site here: SSA IT Modernization Update 2020. Future modernization plans will also be posted in a digital format to our public-facing site.

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.

SSA Response:

The social media strategy is facilitated by our Office of Communications (OCOMM).

- OCOMM wrote and manages the agencywide social media policy, which includes records management requirements.*
- Social media records are listed in OCOMM's file plan, associated with existing schedules, and maintained in accordance with existing disposition authorities.*
- SSA/OCOMM has a contract with a vendor to capture and manage our social media postings and comments on our social media channels.*
- We capture content in Web Archival Format (WARC) and Web Archive Collection Zipped (WACZ) format, and maintain our Internet Blog in accordance with the associated schedule.*
- We capture audio and visual records hosted on our agency YouTube channel in accordance with the associated schedule for Audio Visual Records.*

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- *We note that OIG maintains social media accounts separately from agency accounts and uses its own resources to capture social media records. OIG is currently seeking disposition authority for social media records in the stand-alone OIG records schedule referenced in the response to Question 7 above.*

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.

SSA Response:

We would like to know more about the initiative for agencies to send records to NARA using cloud to cloud transfer.