



# SSA POLICY 8065.01

## RECORDS MANAGEMENT

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**Originating Component:** Office of Systems/Office of the Chief Information Officer

**Effective:** January 26, 2023 (Version 1)

**Releasability:** Cleared for public release.

**Approved by:** Sean Brune, Deputy Commissioner for Systems/Chief Information Officer

1. **Purpose.** This policy:Establishes the Administrative Instructions Manual System (AIMS) as the authorized source for the agency’s Records Management program.
  - b. Places the authority of the records management program under the office of the Chief Information Officer (CIO).
2. **Applicability.** This policy applies to:
  - a. All agency employees, contractors, and Disability Determination Services (DDS) employees (hereafter referred to as employees). Employees are responsible for adhering to records and information management requirements set forth by Chapter 31 of 44 United States Code (U.S.C.), and agency policy set forth in AIMS Material Resources Manual (MRM) Chapter 7.
  - b. The Office of the Inspector General (OIG), to the extent that OIG determines this policy is consistent with OIG’s independent authority as defined in Title 5 U.S.C., and it does not conflict with other OIG policies or the OIG mission. The Inspector General retains responsibility for all OIG records. OIG will consult with SSA as appropriate in managing OIG records.
3. **Policy.**
  - a. The agency’s CIO defines the development of processes, milestones, review processes, and the overall policies for all capital planning and, among other things, project management, in accordance with Office of Management and Budget (OMB) Memorandum, M-15-14, Management and Oversight of Federal Information Technology (Jun. 20, 2015). The agency will continue to implement a records and information management (RIM) program and allocate appropriate resources for its effective implementation, as set forth in the Federal Records Act of 1950, Chapter 31 of Title 44,

U.S.C., and OMB/National Archives and Records Administration (NARA) joint Memorandum M-19-21.

- b. AIMS MRM Chapter 7 assigns responsibilities, houses the policies, authorities, and objectives for directing and administering the records information management program of SSA. The provisions of these instructions apply to all agency components.
- c. In accordance with the authority granted by the Deputy Commissioner of Systems, the CIO has authority to appoint the Senior Agency Official for Records Management (SAORM) and related roles.

#### **4. Roles and Responsibilities.**

##### **a. The Senior Agency Official for Records Management (SAORM) shall:**

- (1) Fulfill the responsibilities as defined in OMB Memorandum M-19-21, A-130, and NARA Bulletin 2017-02.
- (2) Designate the appointment of the Agency Records Officer (ARO).
- (3) Coordinate with the ARO and appropriate agency officials to ensure the agency's compliance with RIM statutes and regulations.
- (4) Collaborate with the ARO to ensure there is a NARA approved records schedule (General Records Schedule (GRS) or agency specific schedule) for each record created or maintained by the agency.
- (5) Ensure the timely identification and transfer of permanent records to NARA in accordance with pre-approved NARA and agency records schedules.
- (6) Designate the appointment of the Records and Information Management Specialist.
- (7) Participate in the Data Governance Body and collaborate with the Chief Data Officer as defined in Chapter 3502 of Title 44, U.S.C., and OMB Memorandum M-19-23.

##### **b. The Agency Records Officer shall:**

- (1) Fulfill the responsibilities as defined in OMB Memorandum M-19-21, A-130, and Chapter 07.01 of the MRM.
- (2) Obtain NARA's certificate of Federal Records Management Training within one year of assuming the position.
- (3) Serve as a records management program's expert providing advice, direction, and oversight to activities supporting adherence to SSA's records management program for both programmatic and administrative records, regardless of media or format.
- (4) Serve as the senior technical expert on agency-wide electronic and non-electronic records management issues.
- (5) Advise executives and other senior level officials, including the CIO and the Office of the General Counsel (OGC), on the appropriateness of documentation, creation, and management of agency records.

- (6) Plan, organize, review, coordinate, and establish controls for all SSA's RIM activities.
  - (7) Serve as the Essential Records Manager for the agency, and in this capacity, develop and publish SSA-wide policy, standards, and procedures for the Essential Records Program. Responsibilities include performing annual reviews to determine whether essential records are adequately protected, current, and accessible as well as reflect the changes to agency functions.
  - (8) Conduct an exit interview for capstone officials prior to that official's separation from the agency.
  - (9) Serve as the liaison between the agency and NARA.
- c. **The Records and Information Management Specialist shall:**
- (1) Serve as the Senior Advisor for RIM in the Office of Systems.
  - (2) Provide consultative and advisory services to management on RIM, research, and analysis.
  - (3) Provide guidance on the formulation, evaluation, development, and implementation of policies, initiatives, procedures, governance and guidelines of the agency's records management program with NARA and other external organizations.
  - (4) Collaborate with the agency's SAORM, CIO, ARO, and other agency staff on matters relating to Freedom of Information Act (FOIA)/Privacy Act, legal, and RIM.
  - (5) Collaborate with the agency's CIO, the SAORM, and/or Office of Systems on electronic recordkeeping requirements, records management applications, as well as the technology challenges of accessing and maintaining records over time.
- d. **The Chief Data Officer shall** fulfill the responsibilities for records management as defined in OMB Memorandum M-19-23.
- e. **The Records Management Staff (RMS) shall:**
- (1) Plan, direct, and provide overall governance, compliance, and policy direction for SSA's records management program as defined in Chapter 07.01 of the MRM.
  - (2) Inform all agency personnel annually of their records management responsibilities in law, regulation, and policy, and provide training specific to the practices and policies of the agency.
  - (3) Verify there is a NARA-approved records schedule (GRS or agency specific schedule) for all records created or maintained by the agency.
  - (4) Confirm the transfer and receipt of permanent records to NARA in accordance with records schedules.
  - (5) Advise NARA when record schedules are no longer applicable due to transition to electronic workflows.

- (6) Confirm that each Deputy Commissioner and Associate Commissioner level office and Regional Office has a Records Management Coordinator, where feasible.
- f. **The Records Management Coordinator shall** assist RMS in administering SSA's records management program as defined in Chapter 07.01 of the MRM.
- h. **The Records and Information Management Stakeholder Governance Council shall:**
  - (1) Support the mission of SSA's records management program.
  - (2) Be led by the SOARM, convene quarterly or as necessary, and vote on records management operational procedures.
  - (3) Be comprised of all agency Deputy level representatives.
  - (4) Promote the records management program, including governance, strategic guidance, procedures, new programs, policy, leadership, and management of electronic records.

**5. Approval**

1/26/2023

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Sean Brune  
Chief Information Officer  
Signed by: Sean Brune

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## REFERENCES

- Office of Management and Budget Circular A-130, “Managing Information as a Strategic Resource,” July 28, 2016
- Office of Management and Budget Memorandum M-15-14, “Management and Oversight of Federal Information Technology,” June 20, 2015
- Office of Management and Budget Memorandum M-19-21, “Transition to Electronic Records,” June 28, 2019
- Office of Management and Budget Memorandum M-19-23, “Phase 1 Implementation of the Foundations of Evidence-Based Policy Making Act of 2018: Learning Agendas, Personnel, and Planning Guidance,” July 10, 2019
- National Archives Records Administration Bulletin 2017-02, September 28, 2017
- SSA Administrative Instructions Manual System, “Material Resources Manual,” Chapter 07.01, August 14, 2017
- United States Code, Title 5
- United States Code, Title 44



## GLOSSARY

All definitions and acronyms can be found in SSA Manual 8200.01 Issuance Library Glossary.



## CHANGE HISTORY

Version	Date	Description of Change
8065.01 V1	1/26/2023	Original CIO-Approved Version

