



Senior Agency Official for Records Management 2019 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 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 rmsselfassessment@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: Terryne F. Murphy

- **Position Title:** Chief Information Officer
- **Address:** 844 N. Rush Street, Chicago, IL 60611-1275

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.**

U.S. Railroad Retirement Board

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

Yes

No



The RRB is leveraging the following existing technology to manage electronic permanent records:

- SharePoint Records Center configured with NARA-approved retention and disposition authority.
- Board Docket System approved by NARA and manually applying NARA-approved retention and disposition authority.
- Board Imaging System approved by NARA and manually applying NARA-approved retention and disposition authority.

In addition, the RRB started a multi-year IT Modernization Initiative at the beginning of Fiscal Year 2019 to transform our operations into the 21st Century using multiple contractor services to improve mission performance, expand service capabilities, and strengthen cybersecurity. Also, the RRB is finalizing a plan to realign all IT Modernization and non-Modernization projects into three new phases, adjusting project milestones and timeline expectations to better align electronic records management capabilities with IT improvements given we are operating with limited staff resources.

Finally, instead of procuring an Electronic Records Management System, the RRB is seeking to leverage native electronic recordkeeping capabilities in future state IT system investments, where practical, to enhance electronic

recordkeeping practices in both permanent and non-permanent records. If we are unable to leverage future state IT systems native capabilities to manage electronic records, we will seek out third-party tools, where appropriate, to integrate electronic records management controls to manage electronic permanent records.

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)

Yes

No

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

The RRB has made the following progress:

- Leveraged existing technology to manage electronic permanent records, will follow NARA guidance to submit eligible electronic permanent with appropriate metadata to the National Archives.
- Started a multi-year IT Modernization Initiative at the beginning of Fiscal Year 2019 to transform our operations into the 21st Century using multiple contractor services to improve mission performance, expand service capabilities, and strengthen cybersecurity. Also, the RRB has already started looking into how we can leverage future state technology to manage the lifecycle of permanent records and appropriate metadata format.
- Transferred 84 cubic feet of eligible paper permanent records to the National Archives in FY 2019 and currently working with key stakeholders to identify and transfer eligible paper permanent records to the National Archives in FY 2020.

In FY 2021 and FY 2022, the RRB will continue to transfer eligible paper permanent records to the National Archives by December 31, 2022. Also, the RRB will work with our Appraisal Archivist to test and transfers to ensure we are able to successfully transfer permanent records in the appropriate format with the appropriate metadata by December 31, 2022.

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

- Yes
 No

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

The RRB has made the following progress:

- Started a multi-year IT Modernization Initiative at the beginning of Fiscal Year 2019 to transform our operations into the 21st Century using multiple contractor services to improve mission performance, expand service capabilities, and strengthen cybersecurity.
- Worked with key stakeholders to identify large volumes of temporary records that are created and stored at the Federal Records Center.
- Notified key stakeholders who frequently store large volumes of paper temporary records of NARA's strategic plans to no longer accept temporary records at the Federal Records Center on January 1, 2023 unless we receive a waiver to store them at an off-site approved storage facility.
- Identify temporary records that could be digitized and managed in RRB information system.

Worked with the National Archives to schedule information systems used to manage temporary records and update records schedule to media-neutral, where appropriate.

In FY 2020, the RRB will continue to work with key stakeholders, identify pilot temporary records that could be digitized and managed in RRB existing and future state systems, and work with the National Archives schedule information systems and update RRB Records Schedule to media-neutral, where appropriate.

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)

- Yes
 No

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

The RRB has taken the following steps to ensure our records management program complies with the Federal Records Act and OMB Memorandum M-19-21, Transition to Electronic Records:

- Added “*Strategic Goal 1- Modernize Information Technology (IT) Operations to Sustain Mission Essential Services*” to the RRB 2018–2022 Strategic Plan.
- In addition, the RRB started a multi-year IT Modernization Initiative at the beginning of Fiscal Year 2019 to transform our operations into the 21st Century using multiple contractor services to improve mission performance, expand service capabilities, and strengthen cybersecurity.
- Informed the National Archives of new SAORM.
- Appointed a Records Officer.
- Required new RRB staff and contractors to complete Records Management Training within 30 days of their hire or contract date, require RRB staff and contractors to complete annual Records Management Training, and brief departing RRB staff on their records management responsibilities.
- Completed an Interagency Agreement with NARA to inventory information systems to identify electronic records, scheduled permanent records systems through NARA, transferred 84 cubic feet of paper permanent records to the National Archives in FY 2019, and worked with key stakeholders to identify paper permanent and temporary records that could be transferred to NARA (permanent) and the Federal Records Center (temporary) by December 31, 2022.
- Managed permanent electronic records in existing technology.

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)

- Yes
 No

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

The RRB has taken steps related to NARA’s 2018–2022 Strategic Plan and OMB Memorandum M-19-21:

- Identified large volumes of temporary records that are routinely stored at the Federal Records Center.
- Briefed key senior and stakeholders on NARA guidance and the need to review business process to no longer produce these types of records.
- Started a multi-year IT Modernization Initiative at the beginning of Fiscal Year 2019 to transform our operations into the 21st Century using multiple contractor services to improve mission performance, expand service capabilities, and

strengthen cybersecurity. These services includes completion of an assessment of the RRB's business processes and to improve service delivery capabilities.

- Continue to work with key stakeholders in FY 2020 – 2022 to identify paper records that could be transferred to the Federal Records Center by December 31, 2022.
- Plans to revise records management regulations and guidance to that will be released to Federal agencies by September 30, 2020 and incorporate into our strategy in FY 2021 and FY 2022 to determine paper temporary records that must be stored at a commercial storage facility that meet's NARA waiver requirements.

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.

Yes

No

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

Although we need to update our records management policies and procedures to provide guidance to outgoing staff, we use the following controls to provide guidance to outgoing staff, including senior officials, to safeguard records:

- Implemented mandatory records management training to all incoming employees, including senior officials, to complete records management training with 30 days of their hire date. Mandatory and refresher records management training informs employees on how to identify Federal records, what to do when departing the RRB, penalties for unauthorized removal of records, and how to manage personal email accounts used to conduct official business.
- Provided annual refresher records management training to inform employees, including senior officials, to remind them of the importance of safeguarding records, including when departing from the agency.
- Collaborated with Human Resources to add a Records Management section to a Human Resource form (Form HR 25, Employee Clearance Records). The Records Officer advise all outgoing staff on the following and signs HR Form 25: 1) identify any litigation hold responsibilities to ensure the RRB continues to have access to and

preserve the records, 2) ensure RRB staff identify records that must be access after their departure (local hard drives, personal network drives, telework records, password/encrypted records, etc., 3) follow RRB guidance with destroying record media, and 4) guidance removing records and non-record materials owned by the RRB.

- Review new IT System Design, Development and implementation and to advise staff on records retention and disposition considerations for compliance as well as provide ad-hoc guidance on retention and disposition instructions for system migrations and legacy system decommissions.

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

- Yes
 No

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

The RRB is a small Federal agency with limited staffing resources. Although I see a path forward in our modernized IT systems to manage permanent records electronically throughout their lifecycle, our current IT Modernization Initiative, limited staffing, and to some degree monetary resources, may cause some delays is integrating and implementing fully-electronic recordkeeping controls in our future state IT environment.

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

- Yes
 No

Please provide details on what support is needed:

The RRB would need the following help/resources from NARA:

- Case scenarios of all of the electronic record types that must be managed per the Universal Electronic Records Management Requirements.
- Offer current Electronic Records Management Training to all Federal agencies.