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 rmselfassessment@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**:   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 provide a list and indicate any that are new or have been changed due to reorganization or other circumstances.

   U.S. Railroad Retirement 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.)

   We have been reviewing our business processes and taking steps to modernize them prior to COVID-19 pandemic. When the RRB transitioned to 100% telework and closure of RRB Field Offices in response to the COVID-19 pandemic, we received a significant increase in the number of online transactions submitted from railroad employee for railroad unemployment insurance benefits. Also, we incrementally increased the amount of information available to railroad employer online and have taken steps to modernize our Employer Reporting System to further increase the amount of information relative to employment and other services to improve exchanges between the agency and railroad employers.

   As we continue to take steps to modernize and optimize our business processes and expanded telework/remote work becomes the norm, we will continue to evaluate all paper processes to reduce the amount of paper we generate and manage as well as take steps to drastically limit the amount of paper records we receive from our customers as we continue to modernize to improve the user experience to your internal and external customer.

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.

   We have taken the following actions towards meeting M-19-21 and M-23-07 compliance: Obtained NARA approval via Form NA 1005 to implement GRS 6.1,

Email Managed under the Capstone Approach, leveraged a legacy email archive to implement the Capstone Approach to manage permanent emails electronically to comply with the mandate, inventoried permanent records storage locations and migrated them from network drives to SharePoint and later to SharePoint Online to comply with the mandate and leveraged legacy system to capture and manage permanent documents in a Board Imaging and Docket Systems.

Although we have taken the above steps, the COVID-19 pandemic, understaffing, and workload has impacted our plans to identify the scope of paper and analog permanent records that needs to be digitized, transferred to custody of the National Archives, transferred to the Federal Records Center, or identifying the scope of paper or analog permanent records that fall under the NARA exception that needs approval.

We have taken steps to hire a new Records and Information Management Specialist with electronic record management experience to focus on M-19-21 and M-23-07 activities. Once hired, we will resume inventorying paper and analog permanent records activities, work with agency key stakeholders and NARA regarding metadata, agency key stakeholders to evaluate modernized systems that manage permanent records, to manage permanent records electronically, to the fullest extent possible, and to transfer permanent paper and analog permanent records that cannot be digitized to the National Archives (Federal Records Center or pre accession transfer), by June 24, 2024.

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.

    We have taken the following actions towards meeting M-19-21 and M-23-07 compliance: Leveraged legacy email archive to manage temporary email records using the Capstone Approach. Leveraged cloud solutions (M365, IBM mainframe), legacy systems, applications and databases, GSA and OPM systems (HR Links, E-Gov Travel, G-Invoicing, Employee Express, etc.,) and network drives to manage temporary and unscheduled records electronically.

    Although we have taken the above steps, the COVID-19 pandemic, understaffing, and workload has impacted our plans to identify the scope of paper and analog temporary records that needs to be digitized, disposed of, transferred to the Federal Records Center, or identifying the scope of paper or analog temporary records that fall under the NARA exception that needs approval.

    We have taken steps to hire a new Records and Information Management Specialist with electronic record management experience to focus on M-19-21 and M-23-07 activities. Once hired, we will resume inventorying paper and analog temporary records activities, work with agency key stakeholders to evaluate modernized systems that manage temporary records, to

manage temporary records electronically, to the fullest extent possible, and to obtain an exception approval for temporary records that cannot be digitized and require storage in a commercial storage facility, if needed, by June 24, 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.

   We do not operate an agency records storage facility.

   We do store active and inactive temporary records at the Federal Records Center in Chicago, in agency offices and some storage rooms. Also, we plan to take steps to identify the scope of paper and analog temporary records that needs to be digitized or a NARA-approved exception so we can identify the volume of paper temporary records that can be disposed of, transferred to the Federal Records Center, or are part of a current/future digitization project that needs to retain records onsite for access to complete the digitization project.

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.

   We have taken strides to incorporate records management into information governance by appointing the Chief Information Officer as the Senior Agency Official for Records Management (SOARM). As the SOARM who oversees the agency IT operations, Policy and Compliance activities (Privacy and Records Management), and Security activities.

Also, we have integrated records management into our information technology lifecycle process as well as integrated records management compliance requirements that will be released in our Information Resource Management Strategic Plan for IT Modernization 2022 – 2026.

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.

   We are in the process of reviewing NARA's updated GRS 6.1, Email and Other Electronic Messages Managed under a Capstone Approach, other types of electronic messages covered by the GRS 6.1, other GRS disposition authorities or a NARA-approved disposition authority.

   Also, we are working with NARA Consulting Services to evaluate some of our offices to provide input and clarification on what a record is and applying existing NARA disposition authorities as it relates to identifying and managing electronic message records.

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.)

At present, we are not using any cognitive automated technologies to simplify the identification and categorization of electronic records and do not have any immediate plans to do so.

We do plan to leverage any automated capabilities in our modernized systems, applications, databases, and cloud solutions to simplify the capture, store, manage, access, search, transfer, litigation hold, and e-Discovery electronic records management lifecycle activities.

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.

    The SAORM reviews and approves internal reviews of the records management program through our Management Control Program process annually. Also, the SAORM is involved in overseeing any OIG open audit recommendations and receives updates on records management priorities and compliance regularly through the Associated CIO for Policy and Compliance.

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.

    Although NARA released GRS 6.1, Email and Other Electronic Messages Managed under a Capstone Approach to provide guidance on managing email and certain types of electronic messages, the RRB and other Federal agencies could benefit for have broad electronic messages guidance that defines test cases that applies to all types of electronic messages, including voice messages on mobile devices.

    Also, we could benefit from updated OPM position classification standards referenced in M-19-21, goal 2.3, for records and information management job series to include electronic records tasks, assignments on evaluating electronic records management systems, and responsibilities as well as NARA role base training and guidance on how to implement NARA guidance.

    Last, we could benefit from NARA releasing an updated Federal Records Act law/regulation with new digitization standards for permanent records and additional guidance as they will be

critical and beneficial to updating our policies and procedures, requirements, and complying with NARA permanent records transfer requirements.

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.