



*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:** Terryne F. Murphy
- **Position title:** 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.

U.S. Railroad Retirement Board

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.)

Although the RRB has taken steps to (1) identify, capture and manage all permanent records in an electronic format, migrate permanent correspondence from share drives to Microsoft SharePoint, and develop legacy systems to create and maintain permanent correspondence records note created and stored in Microsoft 365 and (2) started transferring inactive, eligible and direct officer permanent records to the Federal Records Center and National Archives in Chicago, IL, we still need to develop our permanent records digitization standards and transfer process to comply with NARA transfer and metadata requirements.

The RRB did not fully developed our processes to incorporate NARA's metadata requirements into our permanent records digitization process because the Records Management Group being understaffed for several years and did not have records staff to assist in developing the process. However, we hired a Records and Information Management Specialist to focus on electronic records management to create and maintain permanent records that comply with NARA's transfer guidance.

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.)

Although the RRB has taken steps to identify, capture and manages most of our temporary in an electronic format and started transferring inactive temporary and permanent records to NARA's Federal Records Center in Chicago, IL to reduce the volume of potential temporary records that needs to be digitized, we are still working with agency Records Liaisons as well as managers and supervisors, as needed, to determine if there are other temporary paper records maintained in an electronic format that are used to conduct agency business or may need an NARA exception approval for records identified as difficult to digitize or for other business needs.

The RRB did not complete a comprehensive inventory because the Records Management Group being understaffed for several years. However, we have hired a Records and Information Management Specialist to focus on electronic records management and help identify paper records that needs to be digitized or qualify for an exception request to delay digitization for NARA's approval and continue work towards compliance.

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.)

The RRB does not operate an agency records storage facility.

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.)

The RRB has already started transferring inactive temporary and permanent records to NARA's Federal Records Center in Chicago, IL.

In addition, the RRB is working with agency Records Liaisons as well as managers and supervisors, to identify all non-electronic records, including paper, so we can advise staff on the appropriate actions to

take to transfer the records to the Federal Records Center to meet the OMB Memoranda 23-07 goals by June 30, 2024.

The only exception would be if we identify any paper records that fall under a legal hold, are part a current digitization project and the records needed to remain onsite, or records pending digitization.

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.

The RRB hired a Chief Data Officer in September 2023 to focus on data management planning and policies and the Records Officer will be collaborating with the Chief Data Officer to obtain input to incorporate into records management policies, procedures and strategic planning activities.

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.)

The SAORM meets with the Records Officer on an ad-hoc basis and primarily coordinates records management program goals, issues, policy recommendations, and other related matters via email or through the Associate Chief Information Officer for Policy and Compliance.

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?)

The RRB has not incorporated NARA's digitization standards into our strategic plan because our current Information Resource Management (IRM) Strategic Plan cover's years 2022-2026 and was finalized prior to NARA releasing [36 CFR 1236 Subpart E–Digitizing Permanent Records](#) and the Digitization Quality Management Guidance.

Although NARA updated and released [36 CFR 1236 Subpart D-Digitizing Temporary Federal Records](#) in 2019, we were unable to do a comprehensive review of the digitization standards and to incorporate them into our policies and procedures due to the records management group being understaffed for several years. As we are a small Federal agency with limited staff resources who must take on increased workloads and additional responsibilities, including the Records Officer.

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.

The RRB plans to update its records management policies and procedures on social media. We have procured and are implementing a solution to capture electronic messages (text messages) that reside on Verizon's Text Message Service Platform and ingest the MMS and SMS text messages into an RRB-controlled Microsoft M365 cloud system so we can apply retention policy and controls and (3) leverage native capabilities in Microsoft 365 and tools in our modernized systems to apply retention policies to manage 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.

We could benefit from receiving role-based training on:

- Expanded electronic records management roles and responsibilities referenced in M-19-21, Goal 2.3 requiring OPM to provide new position classification standards for the Records and Information Management job series beyond OPMs [Position Classification Flysheet for Records and Information Management Series, 0308](#), to help develop new records management skills.
- Expanded guidance to Records Officers beyond NARA's Agency Records Officer Credential (AROC) to help develop new records management skills to manage an agency Records Management Program other than NARA resources posted on their website.
- Expanded guidance on understanding and implementing NARA's new digitization standards.