

Senior Agency Official for Records Management 2016 Annual Report



The [OMB/NARA Managing Government Records Directive \(M-12-18\)](#) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report to NARA. This report demonstrates how your organization is achieving the goals of the *Directive* and other important initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in meeting the goals of the *Directive*, including implementing proper email management and transitioning to electronic recordkeeping. Additionally, NARA uses the report for information sharing purposes to provide best practices and model solutions with Federal agencies.

The reporting period begins on January 9, 2017 and reports are due back to NARA no later than March 17, 2017.

NARA plans to post your 2016 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.

Instructions for Reporting

- **This template covers progress through December 31, 2016.**
- 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 PRMD@nara.gov. Include the words "SAORM annual report" 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:** Ram Murthy
- **Position Title:** Chief Information Officer
- **Address:** 844 N. Rush Street, Chicago, IL 60611-1275
- **Office Telephone Number:** 312-751-4851

1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?

U.S Railroad Retirement Board

2. Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)

- Yes
 No

If No, please list and explain which part of your agency or components did not meet the deadline?

(Please note: Through a separate reporting request we will be asking your agency records officers to provide additional information regarding compliance with this target according to the email success criteria published by NARA in April 2016. [*Criteria for Managing Email Records in Compliance with the Managing Government Records Directive \(M-12-18\)*](#))

3. Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)

- Yes
 No

If No, please list which part of your agency or components did not and why?

1. In FY 2015, the RRB received approval from the Archivist of the United States for three comprehensive updates to organizational records schedules.
2. During FY 2016, the RRB planned to engage a contractor to conduct a comprehensive agency-wide records inventory and update records schedules for NARA's approval but due to resource constraints, the project was not funded.
3. In FY 2017, the RRB procured an Interagency Agreement with the National Archives to conduct a comprehensive inventory of our information systems and update our records schedules. In conjunction with the electronic records inventory, RRB staff will review non-electronic records to identify and schedule eligible records with the National Archives.

4. Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)

- Yes
 No

If Yes, please describe this progress.

If No, please list which part of your agency or components did not and why?

1. The RRB implemented a Centralized Correspondence Management System to manage incoming and outgoing agency internal and external permanent and temporary electronic correspondence of Board Members and their staffs, Senior Executives and other senior-level managers and supervisors in FY 2016.
2. In FY 2016, the RRB completed its Digitization of Legal Opinions Project to improve access to internal staff and the public. The RRB will transfer the original paper Legal Opinions to the National Archives for permanent preservation by the end of FY 2017.

3. The RRB has an Interagency Agreement with NARA to conduct a comprehensive inventory of the agency's electronic records series and submit records schedules to NARA for approval by the end of FY 2017. Also, the RRB plans to inventory all paper and analog records to determine the volume and identify permanent paper and analog records that need to be digitized by the end of FY 2017.
4. The RRB will be evaluating existing technology and repositories where electronic permanent (non-email) records are stored and will engage with technology vendors to obtain current information on expanded records functionality to manage records in an electronic format to meet the directive by the end of FY 2017. In addition, the RRB will update and include costs projections in the FY 2018 and FY 2019 budgets.

5. Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)

- Yes
 No

Please describe your specific plans or actions.

1. In FY 2016, the RRB completed the Digitization of Legal Opinions Project and will transfer the original paper Legal Opinions to the National Archives for permanent preservation by the end of FY 2017.
2. While the NARA is conducting a comprehensive inventory of our electronic records, the RRB plans to inventory all paper and analog records to determine the volume and identify permanent paper and analog records that need to be digitized by the end of FY 2017.

6. Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)

- Yes
 No

If Yes, please describe what steps have been taken.

The RRB is actively working to integrate records management into the Information Resources Management Strategy and has taken the following steps to include records management into the IT development and services process:

1. Developed a new supplemental form to allow Records Management to review and assessment new IT projects or major revisions to an existing IT system and identify compliance issues.
2. Increased participation and review of cloud and hosted solutions Statement of Works for records management functionality and compliance to the Federal Records Act.
3. Work with IT staff to update RRB policies and procedures to fully integrate records management into the system development lifecycle process to ensure records are managed as a strategic resource to comply with OMB Circular A-130.