



*Senior Agency Official for Records Management
2017 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* 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 8, 2018 and reports are due back to NARA no later than March 16, 2018.

NARA plans to post your 2017 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 progress through December 31, 2017.
- 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 - [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:** 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. **Is your agency and its components making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- Yes
 No

Please explain your response:

The RRB has an Interagency Agreement with NARA to inventory and schedule our electronic permanent records. The RRB has also identified and associated all permanent electronic records with disposition schedules or submitted unscheduled records to NARA for approval to support current business practices.

Permanent records created and maintained within recordkeeping electronic systems can be exported in accordance with all applicable guidance. Permanent records created and maintained outside of electronic recordkeeping systems will be managed within the SharePoint Record Center environment.

The RRB is developing a SharePoint Pilot to test and validate ERM lifecycle functionality requirements and permanent records will be ingested into SharePoint. The RRB projects it will meet the December 31, 2019 deadline.

3. **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 explain your response and include any obstacles you are facing in planning or implementing digitization initiatives:

In FY 2016 the RRB completed the digitization of permanent Legal Opinions created in hard copy; in FY 2017 the corresponding index card index was digitized. Given the current state of constrained resources and competing IT modernization demands, there are no plans to continue with the digitization of permanent records created in hard copy or any other analog formats. Instead, the RRB will focus on transferring all permanent hard copy records to the custody of NARA prior to December 31, 2022, and assist business units with the transition to the SharePoint recordkeeping environment to manage, access, and preserve electronic permanent records.

- 4. OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

- Yes
 No

Please explain your response:

In FY 2017, the RRB submitted the FY 2019 Budget Submission to OMB. The RRB plans to fully address each proposal as stated in our Agency Reform Plan in accordance with OMB M-17-22. The Agency Reform Plan proposes six significant IT solutions to improve organizational efficiency and effectiveness to include establishing a Records Management System.

- 5. Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (See: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management: <https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html>)

- Yes
 No

Please explain your response:

The SAORM works directly, and regularly, with the Records Officer to oversee the successful implementation of all RRB records management initiatives.

Financial, personnel, and technological resources, though constrained, have been allocated to support a proper and adequate records management program. Support for all projects from senior leadership, such as the CIO and Associate CIO, is provided proactively and consistently.

The RRB Strategic Plan 2018 – 2022, identified Records Management as an essential program that needs to undergo a business process re-engineer in order to build the next set of systems for mission essential services, including hosted services that integrate with an on premise records management system solution.

6. **Have you, as the SAORM, ensured that all incoming and outgoing senior officials* receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements.**

*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:

FY 2017, the RRB implemented mandatory records management training to all incoming employees, including senior officials to complete records management training with 30 days of their hire date. All incoming and existing employees received records management training through the RRB Learning Management System the training covers employees responsibilities regarding how to identify Federal records, guidance on what to do when departing the RRB, unauthorized removal of records, and the use of personal email accounts to conduct official business.

The RRB is developing a formal policy and procedure and an exit checklist form to provide guidance to departing employees, including senior officials on their records management responsibilities for transferring records on all Government-issued devices to ensure records are accessible to the agency after their departure. The new exit checklist form will also help us document the process.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))?**

- Yes
 No

Please explain your response:

The RRB Strategic Plan 2018 – 2022, identified Records Management as a mission essential program that needs to undergo a business process re-engineering of our mission in order to build the next set of systems for mission essential services, including hosted services that integrates with an on premise records management system solution.

8. What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)

None at this time.