



Senior Agency Official for Records Management 2020 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 19, 2021, and reports are due back to NARA no later than March 19, 2021.

NARA plans to post your 2020 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- 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 2020 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:** 84 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?

U.S. Railroad Retirement Board

2. Has the COVID-19 pandemic changed any policies or practices related to records management at your agency?

- Yes
 No
 Do not know

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

COVID-19 has impacted some RRB records management activities as follows:

- Changes to NARA's Federal Records Centers Program operations has eliminated courier services at the Federal Records Center at Chicago which resulted in the RRB performing these services, as needed, to meet some emergency RRB Reference Service Requests.
- Changes to NARA's Federal Records Center Program and telework has impacted our ability to identify and transfer records, both temporary and permanent records, to the Federal Records Center in Chicago to live out the remainder of their retention period to reduce the footprint records to be digitized and managed electronically by December 31, 2022.
- Telework has impacted our ability to determine the scope of records, temporary and permanent, that may need to be digitized and ingested into our IT systems by December 31, 2022.

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

- Yes
 No
 Do not know

Please provide details on what support is needed:

The RRB does not have an established information governance framework or comprehensive policy to address all agency information lines of business. The RRB has designated a SAORM (who also serves as

the CIO), Records Officer, Chief Data Officer and Associate Chief of Information Officers and other relevant key stakeholders who collaborate on resolving issues related to managing RRB data. In addition, the RRB does have records privacy, security, records and data management policies on managing RRB data; however, due to COVID, small Federal agency, staffing, workload and IT modernization efforts, we have not been able to keep pace with policies and procedures updates to establish an information governance framework policy.

4. 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
 Do not know

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

The RRB has taken the following steps towards managing all permanent records in an electronic format:

- Leveraged existing technology to manage permanent email and non-email records electronically.
- Completed an Interagency Agreement with NARA to inventory all RRB systems to identify systems that create and store permanent records, submitted RRB legacy systems used to store and manage permanent records to NARA for review, and obtained a NARA-approved disposition authority.
- Transferred 84 cubic feet of eligible paper permanent records to the National Archives in FY 2019 and started working with key stakeholders to identify and transfer eligible paper permanent records to the National Archives in FY 2020.
- Started a multi-year IT Modernization Initiative at the beginning of Fiscal Year 2019 to procure contractor services to modernize our IT hardware and software platforms and how we can leverage it to manage permanent records and appropriate metadata electronically to improve our security, privacy and records management posture.

5. Has your agency made progress towards managing all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)

- Yes
 No
 Do not know

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

The RRB has taken the following steps towards managing all temporary records in an electronic format:

- Completed an Interagency Agreement with NARA to inventory all RRB systems to identify systems that create and store records.
- Started a multi-year IT Modernization Initiative at the beginning of Fiscal Year 2019 to procure contractor services to modernize our IT hardware and software platforms and how we can leverage it to manage permanent records and appropriate metadata electronically to improve our security, privacy and records management posture.

Some challenges that could impact our progress are as follows:

- COVID-19 has impacted changes to NARA’s Federal Records Center Program and telework has impacted our ability to work with key stakeholders to transfer records to the Federal Records Center in Chicago to live out the remainder of their retention period to reduce the footprint records to be digitized and managed electronically by December 31, 2022.
- COVID-19 has impacted our efforts to identify all paper records stored in the RRB; however, telework has impacted our ability to determine the scope of records that needs to be digitized and manage electronically by December 31, 2022.
- IT modernization efforts spanning multiple years and unexpected delays to IT modernization efforts, could impact efforts to manage electronically by December 31, 2022.
- Limited records staff, expertise, and workload could impact reviews of future state IT system native records management capabilities and implementing effective controls to manage all records electronically by December 31, 2022.

6. Is your agency investing resources in IT to support the transition to electronic recordkeeping?

- Yes
 No
 Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

The RRB has made the following investments in IT modernization to support the transition to electronic recordkeeping:

- Worked with senior leadership to add a new goal, “Strategic Goal 1-Modernize Information Technology (IT) Operations to Sustain Mission Essential Services” to the RRB 2018 – 2022 Strategic Plan;
- Started a multi-year IT Modernization Initiative at the beginning of Fiscal Year 2019 to procure contractor services to modernize our IT hardware and software platforms and how we can leverage it to manage permanent records and appropriate metadata electronically to improve our security, privacy and records management posture.
- Realigned IT Modernization projects into three new phases, adjusted project milestones and project timeline expectations, and aligned records management into the appropriate modernization phase.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your agency have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
 No
 Do not know

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

The RRB does not operate an internal records center and only use the NARA Federal Records Center to store records to live out the remainder of their retention period before they are either destroyed or transferred to the custody of the National Archives.

COVID-19 has impacted our plans to transfer records to NARA Federal Records Center in Chicago to reduce the volume of paper records in the agency to live out the remainder of their retention period as well as determine the scope of paper of temporary and permanent records that may need to be digitized and managed electronically by December 31, 2022.

The RRB will be reviewing options and may submit an exceptions request to identify affected records and determine if commercial storage options for records that could not be digitized or transferred to the NARA Federal Records Center in Chicago prior to December 31, 2022 due to their format, cost, IT modernization efforts, or other factors.

8. Does your agency have policies and procedures that include documentation to ensure records of newly appointed and 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
 Do not know

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

Although the RRB needs to update its policy and procedures, the RRB does provides guidance to newly appointed and outgoing senior officials to ensure records are safeguarded as follows:

- Requires all incoming senior officials to complete mandatory Records Management Training within 30 days of their hire date which includes guidance on how to safeguard records, penalties for not safeguarding records, checklist for what to do when departing the federal agency, and how to manage email records created using personal accounts.
- Requires all incoming senior officials to complete refresher Records Management Training annually which includes guidance on how to safeguard records, penalties for not safeguarding records, checklist for what to do when departing the federal agency, and how to manage email records created using personal accounts.
- The Records Officer reviews the Employ Clearance Form with departing staff. The form outlines steps to take to ensure remain accessible upon their departure to include records (1) in their control that are under litigation hold; (2) stored on local hard drives, agency personal network drive, password/encrypted records, etc.; (3) media destruction guidance; and (4) guidance on removing records and non-record materials owned by the

RRB. In addition, the Records Officer provides ad-hoc briefings and records reviews, upon request or as needed.

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

- Yes
 No
 Do not know

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

Although we have made some progress to leverage existing IT systems to manage permanent records and have started efforts to modernize our IT systems to manage all records electronically throughout their lifecycle as we are a small Federal agency with limited staff. Current staff workloads, expertise, potential delays in IT modernization project efforts, COVID-19 disruptions to efforts to determine the scope of records (temporary and permanent) that may need to be digitize and ingested into our systems for management electronically may result in our agency submitting a waiver request to continue managing some records in nonelectronic formats and impact our goal to fully comply with electronic recordkeeping requirements by December 31, 2022.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes
 No
 Do not know

Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions):