



*Senior Agency Official for Records Management
2021 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. 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 records keeping and preservation under both these requirements, as well as other important records management initiatives.

The reporting period begins on January 10, 2022, and reports are due back to NARA no later than March 11, 2022.

NARA plans to post your 2021 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 records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2021, 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 2021 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:** 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 also indicate any that are new or have been changed due to reorganization or other circumstances.

U.S. Railroad Retirement Board

- 2. Has the COVID-19 pandemic impacted 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 RRB records management activities over the last 2 years as follows: (1) NARA closed all facilities and when COVID conditions improved off and on, NARA provided limited Federal Records Center Program services such as emergency reference requests; (2) telework impacted our ability to transfer paper permanent records to the custody of NARA, (3) telework impacted our ability to identify and transfer paper records to the Federal Records Center in Chicago to live out the remainder of their retention period to reduce the footprint of records to be digitized and managed electronically, and (4) telework has impacted our ability to determine the scope of permanent and temporary records that 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 integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

- Yes
 No
 Do not know

Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.

Although the RRB has not established an information governance framework/committee to address all agency information lines of business, RRB has designated a SAORM (who also serves as the CIO) and except for the FOIA, Executive Committee and Board Members, the Records Officer, Chief Data Officer; Associate Chief of Information Officers; Security Officer; and Chief Privacy Officer positions fall under and/or report to the CIO/SAORM and collaborate with key stakeholders resolve issues/policies related to managing RRB data.

4. Will your agency meet the goal to manage and preserve 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, example metrics, and/or challenges):

The RRB will meet the goal of managing permanent email records electronically and some non-email permanent records in a legacy system with limited capabilities to maintain metadata along with the records separately other than metadata inherit in a PDF by December 31, 2022. However, the RRB, is still evaluating and hopefully can apply appropriate retention policy to other non-email permanent records migrated to SharePoint Online by the end of the calendar year.

In addition, COVID-19 has impacted RRB records management activities over the last 2 years as follows: (1) NARA closed all facilities and when COVID conditions improved off and on, NARA provided limited Federal Records Center Program services such as emergency reference requests; (2) telework impacted our ability to transfer paper permanent records to the custody of NARA, (3) telework impacted our ability to identify and transfer paper records to the Federal Records Center in Chicago to live out the remainder of their retention period to reduce the footprint of records to be digitized and managed electronically, and (4) telework has impacted our ability to determine the scope of permanent and temporary records that need to be digitized and ingested into our IT systems by December 31, 2022.

We plan to resume some transfer activities as staff are slowly returning to work but see COVID has impacted our ability to comprehensively manage all permanent records electronically.

5. Will your agency meet the goal to manage and preserve 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, example metrics, and/or challenges):

The RRB will meet the goal of managing some temporary records (email, legacy system, SharePoint Online, etc.) electronically by December 31, 2022.

However, the RRB is currently involved in IT modernization efforts impacting legacy systems and will be evaluating ways to leverage capabilities to manage temporary records electronically.

6. Does your agency have plans to submit to NARA a request for an exception to the? M-19-21 requirements before December 31, 2022?

- Yes
 No
 Do not know

Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.

Although the RRB has made strides to comply with M-19-21 to manage some permanent and temporary records electronically by December 31, 2022, COVID-19 has impacted RRB records management activities over the last 2 years as follows: (1) NARA closed all facilities and when COVID conditions improved off and on, NARA provided limited Federal Records Center Program services such as emergency reference requests; (2) telework impacted our ability to transfer paper permanent records to the custody of NARA, (3) telework impacted our ability to identify and transfer paper records to the Federal Records Center in Chicago to live out the remainder of their retention period to reduce the footprint of records to be digitized and managed electronically, and (4) telework has impacted our ability to determine the scope of permanent and temporary records that need to be digitized and ingested into our IT systems by December 31, 2022.

7. Is your agency utilizing the General Services Administration's Special Item Number for Electronic Records Management ([518210 ERM](#)) 6 to procure solutions to assist in transitioning to an Electronic Environment?

- Yes
 No
 Do not know

Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.

The RRB is undergoing an IT Modernization and plans to leverage capabilities in the modernized solutions to assist in managing records electronically. As we migrate to solutions, we have ongoing efforts to evaluate and leverage native controls and may consider GSA 51810 ERM options to address gaps in electronic recordkeeping capabilities to improve, simplify, and automate recordkeeping, where practical.

8. Has your agency developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?

- Yes
 No
 Do not know

**M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.

No, the agency does not have any plans to store temporary records at a commercial storage facility at this time.

However, COVID-19 has impacted RRB records management activities over the last 2 years as follows: (1) NARA closed all facilities and when COVID conditions improved off and on, NARA provided limited Federal Records Center Program services such as emergency reference requests; (2) telework impacted our ability to transfer paper permanent records to the custody of NARA, (3) telework impacted our ability to identify and transfer paper records to the Federal Records Center in Chicago to live out the remainder of their retention period to reduce the footprint of records to be digitized and managed electronically, and (4) telework has impacted our ability to determine the scope of permanent and temporary records that need to be digitized and ingested into our IT systems by December 31, 2022.

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 modernizing some of our IT systems and applications and are leveraging existing capabilities in legacy and modernize systems to manage email and some non-email records, there are challenges to managing other forms of electronic messages records created using electronic messages platforms other than email such as voice, chat, instant, etc., such as (1) limits in electronic recordkeeping capabilities, (2) where records are stored (e.g., the cloud), (3) costs and legal considerations related to voice messages sizes and retention of messages, (4) contract delays and costs, and (5) COVID and how it has impacted records management transfer and digitation activities over the last 2 years has impacted our plans to determine the scope of paper records that needs to be digitized and ingested into our IT systems are some of the challenges are having impacts to fully implementing fully electronic recordkeeping.

10. NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?

- Yes
 No
 Do not know

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