



Senior Agency Official for Records Management 2019 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 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 13, 2020, with reports due back to NARA no later than March 13, 2020.

NARA plans to post your 2019 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, 2019.
- 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 2019 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 Craig Keats
- Position title General Counsel
- Address 395 E. St SW, Washington DC. 20024

- 1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

Please provide list: Surface Transportation Board

- 2. Is your agency managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

- Yes
 No

Please explain your response:

The STB has been moving towards greater electronic records management. At this time most STB permanent records are managed in an electronic format.

STB is working with a RM contractor to develop a new semi-automated records management solution for the management of email and electronic records that will assist STB in meeting M-19-21 requirements.

- 3. 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

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

Currently most STB permanent records are created and managed in electronic format with the appropriate metadata. The STB is working to convert all paper records, including older records, to electronic format. Most STB permanent paper records were converted to electronic format with the appropriate metadata during 2019.

We anticipate completing the scanning of all STB paper records by the end of 2020.

4. Has your agency made progress towards managing all temporary records in electronic format? (M-19-21, 1.3)

Yes

No

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

All STB temporary records are managed in electronic format.

5. Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)

Yes

No

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

As the SAORM, I secured funding during 2019 to perform a full assessment of the records management program with a RM contractor. The goal of the assessment is to ensure that the STB complies with the requirements established in M-19-21.

I also requested funding during the FY20 budget for the purchase and implementation of a records management solution that will allow the STB to manage all records in electronic format.

6. If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)

Yes

No

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

N/A, no records centers at the STB.

7. Does your agency have procedures that include documentation to ensure records of 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

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

The STB has procedures that include documentation to ensure that the records – including electronic records and email – of all employees, including Senior Officials, are properly captured and/or processed, and that they are not improperly removed, altered, or deleted. The procedures are included in Surface Transportation Board Access Control Policy effective December 18, 2018. Section 6.2 Account Management (AC-2) (Priority 1), which is excerpted below.

6.2 ACCOUNT MANAGEMENT (AC-2) (PRIORITY 1)

The STB:

- A. Identifies and selects the following types of information system accounts to support organizational missions/business functions: individual and service.
- B. Assigns account managers for information system accounts.
- C. Establishes conditions for group and role membership.
- D. Specifies authorized users of the information system, group and role membership, and access authorizations (i.e., privileges) and other attributes (as required) for each account.
- E. Requires approvals by CIO for requests to create information system accounts.

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STB Access Control Policy

- F. Creates, enables, modifies, disables, and removes information system accounts in accordance with account management procedure.
- G. Monitors the use of information system accounts.
- H. Notifies account managers:
 - 1. When accounts are no longer required.
 - 2. When users are terminated or transferred; and

3. When individual information system usage or need-to-know changes.

I. Authorizes access to the information system based on:

1. A valid access authorization.

2. Intended system usage; and

3. Other attributes as required by the organization or associated missions/business functions.

J. Reviews accounts for compliance with account management requirements at least annually; and

K. Establishes a process for reissuing shared/group account credentials (if deployed) when individuals are removed from the group.

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

Yes

No

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

Some of the challenges that the STB faces are:

- The allocation of financial resources for the purchase and implementation of an electronic records management solution.
- Decades of permanent records that were created in paper format. These records were not required to be transferred to NARA until after 20-30 years and are now all required to be converted to electronic format to meet NARA requirements.
- The creation of a modernized email management solution that will facilitate the management of email records.

9. Do you need support from NARA to ensure a successful transition to fully-electronic recordkeeping?

Yes

No

Please provide details on what support is needed:

The STB is currently performing a full evaluation of the records management program. We are also working on the purchase and implementation of a records management solution. We anticipate reaching out to NARA with any questions that arise during the evaluation and implementation process.