



## ***Senior Agency Official for Records Management FY 2015 Annual Report***

The *Managing Government Records Directive (M-12-18)* requires Senior Agency Officials (SAOs) for Records Management 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 November 16, 2015, and reports are due back to NARA no later than COB January 29, 2016.

Please note that NARA will post a version of your 2015 SAO report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. Please let us know whether there is a specific justification as to why your report cannot be publicly shared (in whole or in part).

### **Instructions for Reporting**

- This template covers progress through fiscal year (FY) 2015.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the eight questions/items on the following pages and send the report to [prmd@nara.gov](mailto:prmd@nara.gov). Include the words “SAO annual report” and your agency’s 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 SAO:** Ram Murthy

**Position Title:** Chief Information Officer

**Address:** 844 N. Rush Street, Chicago, IL 60611-1275

**Office Telephone Number:** 3120751-4851

**1. What are the agencies, components, or bureaus covered by this report and your position as SAO?**

U.S Railroad Retirement Board

**2. Is your agency going to meet the Directive goal to manage all email records in an accessible electronic format by December 31, 2016? (Directive Goal 1.2)**

Yes       No

**a) Provide a list of actions your agency, components, or bureaus have taken to meet this goal.**

During FY 2015, we contracted with Booz, Allen and Hamilton to conduct an assessment of the RRB's Records Management program. The purpose of the assessment was to help identify weaknesses and deficiencies in our program with a primary focus on corrective steps necessary to ensure compliance with OMB M- 12-18. This includes the management of email. Since receiving the assessment, we have taken the following two steps:

- 1) We purchased a records management tool to assist in the segregation of permanent emails for later transfer to NARA.
- 2) We hired 2 new records management specialists to assist us with the overall management of the RRB's Records Management Program.

**b) Provide a list of the actions your agency, components, or bureaus plan to take in 2016 to meet this goal.**

The RRB has begun the planning stage for implementation of NARA's Capstone policy to manage permanent and temporary emails and is briefing senior agency officials on legal considerations, scope, implementation factors, designation of accounts, and records management challenges associated with its implementation.

Planned tasks include:

- 1) We will identify Capstone Officials and submit a NA Form 1005 to NARA for approval.
- 2) We will configure existing RRB technology to manage email electronically using the Capstone Approach.
- 3) We will develop criteria to cull permanent emails of designated Capstone officials prior to transfer to the National Archives.
- 4) We will review and update records management policies and procedures to incorporate the Capstone Approach, litigation holds, electronic messages, and guidance on using official RRB.gov accounts to conduct RRB business to agency personnel.

**3. Has your agency taken actions to implement the 2014 Amendments to the Federal Records Act requiring Federal employees to copy or forward electronic messages (including email, texts, chats, and instant messaging) that are federal records from their non-official accounts to official accounts within 20 days?**

Yes       No

**Please provide a brief description of the actions taken, such as establishing policies and providing training.**

- a. The SAO briefed RRB Board Members on the 2014 Amendments to the Federal Records Act related to email messages.
- b. After coordination with the RRB's General Counsel, the SAO issued an Email Policy Memorandum to all RRB employees which outlined their new records management responsibilities in accordance with the 2014 amendments to the Federal Records Act. Employees were required to certify that they had received, read, and complied with the policy to transmit all official email records from non-official to official RRB.gov email accounts by an established deadline.
- c. In addition, the SAO required RRB employees to review the rules of behavior on use of RRB IT Systems.

**4. Describe your agency’s internal controls for managing electronic messages (including email, texts, chats, and instant messaging) of the agency head and other executives (including appropriate advisers, and other senior management staff).**

As stated previously, the SAO briefed the RRB Board Members and their counsels/assistants on the 2014 Amendments to the Federal Records Act with a focus on email and electronic messages. A temporary policy is in place regarding the retention of texts messages (all are being saved) while we research further in preparation of a request for disposition authority from NARA.

During FY 2015, the RRB’s agency head retired and our staff took appropriate actions to secure his records and government issued equipment. We will continue to address Presidential appointees (the RRB only has 4) and Senior Executives in a similar fashion in the short-term while permanent policies are developed and implemented. In FY 2016, the RRB plans to address electronic messages as part of the Management Control Review certification process.

**5. Is your agency going to meet the Directive goal to submit records schedules to NARA for all existing paper and other non-electronic records by December 31, 2016? (Directive Goal 2.5)**

Yes       No

**a) Provide a list of the actions your agency, components, or bureaus have taken to meet this goal.**

In FY 2015, the RRB received approval from the Archivist of the United States for three comprehensive updates to organizational records schedules and a fourth is still pending NARA review.

**b) Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.**

The RRB is planning to engage a contractor to conduct a comprehensive agency-wide records inventory with related development of updated records schedules for NARA’s approval. Like other small agencies, the RRB has funding constraints. The RRB plans to utilize current staff (based on their existing workload) to meet the requirement. There is a possibility that funding constraints and workloads will cause us not to be fully compliant with Directive Goal 2.5 by the established date.

**6. Is your agency going to meet the Directive goal to manage all permanent electronic records in an electronic format by December 31, 2019? (Directive Goal 1.1)**

Yes       No

**a) Provide a list of the actions your agency, components, or bureaus have taken to meet this goal.**

- 1) In FY 2016, the RRB will implement a Centralized Correspondence Management System to manage incoming and outgoing agency internal and external electronic correspondence of Board Members and their staff, Senior Executives and other senior level managers.
- 2) In FY 2016, the RRB will complete the Digitization of Legal Opinions Project which will provide for the management of all RRB legal opinions electronically thereby improving access to internal staff and the public. Upon completion of the project, the RRB will transfer the original paper Legal Opinions to the National Archives for permanent preservation.

**b) Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.**

The RRB is currently conducting a pilot that will provided for the imaging of Retirement Disability case files, the final step in replacing our retirement paper files. Current plans call for the pilot to continue well into FY 2016.

**7. Please provide any insight to your agency's efforts to implement the *Managing Government Records Directive* and the transition to a digital government.**

**Provide a brief description, including any positive or negative outcomes, challenges, and other obstacles.**

We have identified a number of initiatives in earlier responses; particularly:

- the Booz Allen and Hamilton records management assessment,
- our plans to utilize Capstone for email,
- the implementation of a Centralized Correspondence Management System,
- the digitization of the RRB's Legal Opinions, and
- RRB plans to conduct an agency-wide records inventory.

The RRB is a relatively small agency. Our primary challenge with completing these initiatives to date has been insuring that appropriate resources (funding, infrastructure, adequate staffing) are available to keep the initiatives moving towards completion.

**8. With regard to records management, is your agency preparing for the upcoming change in Presidential administration?**

Yes       No

- a) Provide a list of the actions your agency, components, or bureaus have taken to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration.**

As stated previously, the SAO briefed the RRB Board Members and their counsels/assistants on the 2014 Amendments to the Federal Records Act with a focus on email and electronic messages. A temporary policy is in place regarding the retention of text messages (all are being saved) while we research further in preparation of a request for disposition authority from NARA.

Further, during FY 2015, the RRB's agency head retired and our staff took appropriate actions to secure his records, and government issued equipment. We will continue to address Presidential appointees (the RRB only has 4) and Senior Executives in a similar fashion in the short-term while permanent polices are developed and implemented.

- b) Provide a list of the actions your agency, components, or bureaus plan to take in the future to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration, including ensuring that federal records are not improperly removed from the agency.**

I have tasked the Chief of Information Management and the RRB's Records Officer with developing formal procedures during FY 2016 that will provide for an entry/exit interview for all Presidential employees and Senior Executives. This will include certifications that the interview took place upon entry into service and that a review of their records and government issued equipment takes place upon their departure.