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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.

The reporting period begins on <u>March 11, 2019</u> with reports due back to NARA no later than <u>April 19, 2019</u>.

NARA plans to post your 2018 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, 2018.
- 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 rmselfassessment@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

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.**

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 completed an Interagency Agreement with NARA to inventory and schedule our electronic permanent records. The RRB has identified existing permanent records with disposition schedules, modified and submitted existing permanent record with disposition schedules to NARA for approval, and submitted unscheduled information systems containing electronic permanent records to NARA for approval.

Also, the RRB developed sites in SharePoint Records Center SharePoint Records Center for offices, identified permanent records stored on network drives, and ingested the permanent records into SharePoint and applied NARA-approved disposition schedule.

In addition, the RRB submitted a Request for Information (RFI) to the General Service Administration's (GSA) e-Buy Schedule 36 to obtain information and cost estimates from vendors on ERMS implementation options. In FY 2019, the RRB plans to procure a modernized ERMS to integrate enhanced electronic records capabilities that keeps pace with the RRB's future-state computer environment to simplify lifecycle records management activities on end users.

Finally, the RRB, through a combination of leveraging existing technology to manage permanent correspondence records in SharePoint Records Center and customized electronic recordkeeping systems, will allow us to capture and management permanent records electronically to meet the December 31, 2019 deadline. In FY 2019/2020, the RRB plans to procure and integrate an ERMS solution to enhance ERM capabilities to simply lifecycle records management activities and to facilitate a phased transition of permanent electronic records to the management of the ERMS solution.

3. **Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its** *[Criteria for Successfully Managing Permanent Electronic Records](#)* **(March 2018)?**

■ Yes
☐ No

Please explain your response:

The RRB has taken steps to provide guidance, systems, and disposition instructions to ensure RRB permanent records are preserved and accessible throughout their lifecycle:

- **Policy/Guidance:** RRB implemented new mandatory Records Management Training to new employees and contractors to inform them of their records management lifecycle responsibilities for managing permanent and temporary records. Also, the RRB provides annual Records Management Training to refresh employees and contractors of their records management responsibilities. The RRB has integrated a checklist into the mandatory and annual Records Management Training to provide guidance to departing employees, including senior officials, and is developing a formal policy and procedure to expand upon guidance to departing personnel to ensure records are accessible to the agency after their departure.

- **Systems:** The RRB inventoried IT systems used to create and store electronic records and have taken steps to (1) migrate permanent records from network drives to SharePoint Records Center; (1) configured SharePoint Records Center to apply NARA-approved retention policies to preserve access to permanent records until eligible for transfer to NARA; (3) identified paper permanent recordkeeping systems and transferred eligible records to NARA; and (4) started the process to obtain contract assistance to install an ERMS solution to integrate enhanced electronic recordkeeping capabilities into the RRB's modernized computer environment.

- **Disposition:** The RRB completed an Interagency Agreement with NARA to inventory our information systems used to create and store electronic records, identified unscheduled IT systems used to create permanent correspondence records, and drafted and submitted schedules to NARA via the Electronic Records Archive (ERA) System to obtain NARA-approved disposition authority.

4. **As included in the Administration's** *[Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#)* **(June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

The Reform Plan states:

Transition to Electronic Environment: *Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.*

■ Yes
☐ No

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

In the 2018 – 2022 Strategic Plan, the RRB developed a new goal, "*Strategic Goal 1- Modernize Information Technology (IT) Operations to Sustain Mission Essential Services*". At the beginning of FY 2019, the RRB launched the RRB IT Modernization Initiative consisting of seven modernization projects to include procuring (1) contractor assistance to transition from a legacy mainframe systems to a modernized open frame systems, (2) contractor assistance to assess mission essential business processes and provide a roadmap and blueprint for the RRB to leverage shared and cloud services and facilitate transition to next generation systems, (3) and contractor assistance to install a modernized ERMS solution to integrate enhanced electronic recordkeeping capabilities into the modernize IT infrastructure to facilitate the transition to electronic records management, improve customer service and efficiencies, preserve access to Federal records, and to facilitate and support modernization and strategic priorities.

In addition, the RRB has inventoried and identified eligible paper permanent records and is transferring them to the National Archives in order to reduce the footprint and digitization cost. Also, the RRB reviewed transfers to the Federal Records Center (FRC) for temporary storage, briefed appropriate offices who utilize the FRC for temporary storage to evaluate their business processes, where it rely upon print and file recordkeeping, in order to plan for the transition to electronic environment on January 1, 2023.

5. **Is your agency utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?**

    ■ Yes
    ☐ No

    Please explain your response:

    The RRB submitted a Request for Information from ERM vendors under GSA Schedule 36 to obtain information on modernized ERMS solutions and plan to utilize Schedule 36 to evaluate and procure an ERMS solution in FY 2019.

6. **Have you, as the SAORM, established or improved your agency procedures that ensure 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
    ■ Changes were unnecessary (click [here](#) for your agency's 2017 report)
    ☐ No, changes are being considered but have not been made
    ☐ 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.

In FY 2018, the RRB updated the mandatory and annual records management training to inform employees, including senior officials, of the importance of records management, employee and contractor records management responsibilities, guidance on electronic records management, including personal electronic message accounts, and penalties for failing to safeguard Federal records.

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

7. **Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See NARA Bulletin 2017-02:** *Guidance on Senior Agency Officials for Records Management***)**

  ■ 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.

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 transitioning to hosted cloud services and procuring a Records Management as a Service solution that integrates with RRB's future state data center environment.

At the beginning of FY 2019, the RRB launched the RRB IT Modernization Initiative consisting of seven modernization projects, one of which is to procure a Records Management System.

Financial, personnel, and technological resources, though constrained, are being allocated to support the Records Management System project and senior leadership, such as the Railroad Retirement Board members and SAORM (also the CIO) and Associate CIO, is provided proactively and consistently.

8. **Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See NARA Bulletin 2017-01:** *Agency Records Management Training Requirements***)**

  ☐ Yes
  ■ No

Please explain your response:

Although the RRB has taken steps to ensure all new and incoming Federal employees, contractors and senior officials are assigned mandatory training and modified our mandatory and annual records management training to inform Federal employees, contractors, and senior executives of their responsibilities to properly document manage records, what to do when departing the RRB, and penalties for failing to safeguard Federal records, the RRB needs to develop and implement mandatory role-based training to address specific records management responsibilities and to update policies and procedures roles and responsibilities.

9. **Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

　　　■ Yes
　　　☐ No

Please explain your response:

The RRB reviews Record Management Program controls annually and every 5 years as part of the agency's Management Control Review Program review process. In addition, the OIG audited the Records Management program and the RRB tracks open audit recommendations in a centralized tracking site in order to improve the program.

Also, the RRB is revising its records management directives, policies and procedures; developing performance goals; and plan to incorporate controls to review policies and procedures; performance goals, and records schedules annually.

In addition, the RRB completed an Interagency Agreement with NARA to inventory of our information systems to identify systems containing permanent and temporary electronic records and assisted the RRB is drafting schedules. Also the RRB submitted the permanent records schedules to NARA for approval.

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

　　　☐ Yes
　　　■ No

Please explain your response:

Nothing at this time. .