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 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 rmselfassessment@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: Sheila Stokes
General Counsel, Court Services & Offender Supervision Agency (CSOSA)
800 North Capitol Street NW, Suite 7200
Washington, D.C. 20002

Name of SAORM: Leslie Cooper
Director, Pretrial Services Agency for the District of Columbia (PSA)
633 Indiana Avenue NW, Suite 1100
Washington, D.C. 20004

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:
- Court Services and Offender Supervision Agency (CSOSA), and
- Pretrial Services Agency for the District of Columbia (PSA)

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

X Yes
☐ No

Please explain your response:

Both CSOSA and PSA procured and implemented a DOD 5015.2 certified electronic document records management system (EDRMS) and has begun migrating content into the new centralized environment platform. Both permanent and temporary records are created and maintained in the EDRMS.

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)**

   X Yes
   ☐ N o

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

Yes. Both Agencies established a DOD5015.2 certified platform that ensured we met the 12-31-2019, deadline for permanent records. As a result, the agencies are actively engaged in migrating permanent record information into the new centralized environment where records will be maintained until accessioning to NARA. The appropriate metadata has been created along with the record.

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

   X Yes
   ☐ N o

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

Both CSOSA and PSA procured and implemented a DOD 5015.2 certified electronic document records management system (EDRMS) which supports both permanent and temporary records. The agencies are actively working towards full implementation of the system.

CSOSA also created and uses the shared R drive as the official records keeping system while contractors build a records center, hosted in SharePoint. The SAORM has engaged Directors while the Records Officer engaged Records Liaisons to ensure a plan is in place for all temporary records. The R: Drive is only being used to organize records and segregate official records from non-records to make the transition to the records center smoother.

PSA is migrating all of the Agency's components into the EDRMS, where both temporary and permanent will be maintained.

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)**

   X Yes
   ☐ N o

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

   As the SOARMs, we have taken steps to ensure that our records management programs complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures.

   Both SAORMs ensures that all agency personnel are aware of laws, regulation and policy; ensures that the Records Officers are delivering the message to Agency personnel; and ensures that proper attention is paid to the mandate by including status of meeting goals on performance appraisals.

   The primary steps taken by CSOSA and PSA provides the means to manage their diverse File Plan across more than 45 division/sub-division (offices). Therefore the Agencies are able to create metrics across a broad range of identifiable Record Series and its location across our enterprise.

   Additional processes are being developed, in accordance with the Federal Records Act provisions, and shall be implemented across the Agencies to support our existing records management program goals.

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)**

   X Yes
   ☐ N o

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

   Neither Agency uses records centers other than the Federal Records Center.

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.

    X Yes
    ☐ No

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

    CSOSA has a trifold for senior officials to read to know what their responsibilities are for records management, what is deemed a record and non-record, and what can and cannot be removed during separation. The Records Liaison ensures records are transferred to a proper record keeping system and a signed letter of understanding is sent to the Records Officer. The Records Officer also meets with departing personnel to ensure any issues with the transfer of records are addressed.

    PSA's Records Officer meets directly with senior officials in reference to their RM responsibilities. Senior Officials responsibilities are also documented in their training and the Records Management policy.

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

    X Yes
    ☐ No

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

    The challenge for CSOSA is that the Agency maintains a large volume of records that the program manager wishes to keep on-site. Some management and record liaisons have expressed the need for the Agency to reach out to commercial vendors for a single enterprise support solution versus each division taking on the challenge of digitizing existing records.

    The primary challenge for PSA is funding. Though the agency procured a DOD5015.2 system to manage electronic records, maintaining licenses and support for the system over time is problematic. PSA has undergone a realignment of its priority goals which directly impacted the funding for the EDRMS. Furthermore, upgrading existing

electronic systems of records to ensure full life-cycle management will be difficult without additional funding specifically for Records Management.

A joint challenge for meeting this goal pertains to training and imaging equipment. Even in our early stage of metric, we're finding that generation and management of hardcopy remains a major task. As we move forward, we'll use our metric to identify which offices require more process training and/or imaging equipment as we begin to decrease our reliance on paper.

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

X Yes
☐ No

Please provide details on what support is needed: Any suggestions that NARA can provide to the Agency to help transition from analog to all-digital environment, cost effectively is appreciated.

Both agencies will continue moving forward with the goal of becoming fully electronic with the resources available. We'd like to ensure we are more engaging with NARA to improve our transition.