



Senior Agency Official for Records Management 2018 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.

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

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 rmsselfassessment@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: Sheila Stokes
General Counsel, Court Services & Offender Supervision Agency (CSOSA)
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Name of SAORM: Leslie Cooper
Director, Pretrial Services Agency for the District of Columbia (PSA)
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- 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: Both Court Services and Offender Supervision Agency, and Pretrial Services Agency for the District of Columbia are covered in this report.

- 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: Both Agencies are in the final phase of the four-part phased project to procure and implement a certified DOD 5015.2 system. Both agencies platforms are now DOD 5015.2 certified. The agencies are currently engaging in migrating content into the new environment, which will ensure the records are DOD5015.2 certified as well. Both agencies expect to meet the deadline.

- 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: With the acquisition and implementation of the Electronic Document Records Management System (EDRMS) both agencies are developing new governance procedures that support the on-going management of the EDRMS; both agencies are preparing training for users of the EDRMS; both agencies RM programs are

partnered with the Office of Information Technology (OIT) to ensure the system's required functionality is supported and operational; and both agencies are planning for future development and expansion of electronic records management (ERM) functionality.

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): Both agencies are currently developing next step strategies that will ensure the agencies are able to transition from transferring paper records to NARA. Both agencies are exploring digitizing Agency records that are currently in paper format, as well as ensuring any paper records that are eligible for transfer prior to the deadline are all transferred. Next steps are still under development and are not fully planned. The SAO, with support from Record Officers, have a primary goal is to promote a digitization and culture change from hardcopy to electronic records.

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 agencies' system is already procured.

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: Both agencies senior officials continue to receive RM briefing directly from the agencies Records Officers. All senior officials receive training as part of their on-boarding process. The Records Officers discuss personally with senior officials their specific RM requirements at the onset and through-out their tenure. Senior officials also receive an exit interview provided by RO before departing the agency.

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: Both agencies continue to not only support the RM Programs, but promote the activities and responsibilities of RM through-out the agencies. Due to continual budget constraints, neither agency has been able to expand their programs with additional FTEs.

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: Both agencies have developed annual training for all employees. There is also specialized training for Record Professionals and senior leaders.

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: To avoid inconsistent and conflicting policies and procedures, the agency will ensure a review of record schedules are done to ensure records are not being over-saved, stored indefinitely, or being destroyed prematurely. The Records Officers oversee the process of evaluating the Agency records to ensure proper management. The officers along with the programs Records Liaisons meet quarterly, as well as in between time, to review RM program activities and to discuss any RM issues or concerns.

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

Yes

No

Please explain your response: Both agencies will require direct support from NARA to establish a FTP for transferring permanent records.