



## *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](mailto: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: James T. Strawley
- Position Title: Deputy Staff Director
- Address: One Columbus Circle NE, Suite 2-500  
Washington, DC 2002

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: United States Sentencing Commission*

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 United States Sentencing Commission (“Commission”) has converted from a traditional, largely paper-based records management system to an electronic system for permanent records that will be sent to NARA. As part of this transition, the Commission undertook an effort to convert all paper-based permanent records to electronic format pursuant to its media-neutral records schedule. This was achieved through use of OCR-enabled scanners and scanning software. Once digitized, these scanned records were uploaded to a DOD 5015.2 compliant, Oracle-based electronic documents-and-records-management system. That system is called “Oracle WebCenter Content”; we use an “Oracle WebCenter Content: Records” module specifically for records management. The two components collectively comprise the agency’s user-friendly records management system, known internally as “eCommission.”

As of the filing of this report, the Commission has completed the process of scanning all historical, paper-based permanent records. The Commission is currently in the process of transferring many of our previously-created electronic files (e.g., pdf, Word, Word Perfect, Excel, and Power Point files) into the eCommission system – including all files that qualify as permanent records. Lastly, the Commission has instituted a process by which all contemporaneous permanent records are maintained and uploaded into eCommission in electronic format.

A similar process is also underway to achieve full digitalization of the Commission’s temporary records.

Once gathered and uploaded to eCommission, all records undergo a process to ensure proper disposition under the Commission's records schedule. Our records specialist, Brittany Davis, is responsible for moving the documents uploaded into the eCommission from the "documents" side to the "records" side of the eCommission (if the documents qualify as "permanent" records), pursuant to our CRDS. Once a file is moved to the "records" side, it is set for disposition in accordance with the CRDS (*i.e.*, depending on the document's creation date, it will be sent to NARA in electronic form). An electronic copy of all records remains in the eCommission after they are sent to NARA.

**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 Commission's eCommission system is both secure and user friendly. All staff have received training on their records management responsibilities and how to use the eCommission to fulfill them. Dedicated individuals within units work with the ARO to ensure all records are moved to the eCommission using integration with our shared drive system or through manual upload. All metadata is kept through these uploads. The system is full text searchable making retrieval easy for all users. Once uploaded the records are converted into PDF/A and cannot be edited, moved, or deleted except by system admins. The system also allows for easy preparation of annual transfers to NARA and checked for quality by our ARO.

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):*

As explained above, the Commission has created a comprehensive document management and records system and has established processes to ensure collection and proper disposition of records. The Commission has already digitized our historic permanent record collection and all new permanent records are created and maintained electronically.

Consistent with this requirement, the Commission has completed all past transfers to NARA in electronic, PDF/A format. We are currently in the process of digitizing long-term temporary records so that they are maintained electronically as well to provide for greater consistency and usability of our records management program.

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:*

At this time, the Commission is not currently looking to purchase new records solutions and therefore is not currently making use of GSA Schedule 36. If purchases are required in the future, the Commission will comply with all applicable regulations, including use of appropriate GSA Schedules.

**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:*

As part of the Commission's onboarding process, all new employees (including senior officials) receive records management training. All senior Commission employees (Commissioners and senior staff) have been trained repeatedly on their records management responsibilities. Additionally, all employees are trained on the full functionality (including the search functions) of eCommission. The Commission has also recently added a requirement that exiting employees meet with the Records Officer as part of the documented exit process (as opposed to the undocumented process used before) to ensure all permanent or temporary records collected and maintained by the exiting employee are accounted for pursuant to the above processes.

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:*

Upon my recent appointment as the agency's SAORM, I separately met with both the agency Executive Official and the ARO in order to understand the details of the Commission's current records management processes. I have determined that the Commission's current system has been successfully implemented by the ARO and the previous SAORM and is fully supported throughout the agency. The ARO and I have also discussed ongoing goals for the programs, possible methods to further improve the Commission's processes and future requirements. I have provided guidance and assistance for our current program and evaluated our goals, and anticipate regular meetings with the ARO and Executive regarding the program.

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:*

As previously discussed, the previous SAORM and the ARO created a comprehensive training program, which is required for all employees, including those with specific record keeping responsibilities. All employees are trained on retrieval of records. Those with responsibilities receive additional training on identifying records, preservation of records, and are directed to work with the ARO. I intend to work with the Commission's Staff Director and ARO to continue this requirement.

**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:*

As part of assuming my role as the Commission's new SAORM, I have been briefed on the current process for evaluating successful compliance. Given our relatively small size, our current process involves informal consultations between the ARO and dedicated staff within each of the Commission's units to ensure all records are moved to the eCommission using integration with our shared drive system or through manual upload. The ARO also carefully monitors the Commission's collection of records throughout the year, including regularly checking user uploads and analyzing the Commission's contemporaneous records inventory.

The ARO and I have discussed possible additions to process, including utilizing reports analyzing the nature and volume of uploads from each unit to ensure year-over-year consistency. We also discussed establishing model as part of our records system to track and monitor communications between the ARO and the staffers within each unit dedicated to assisting with records management.

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

Yes

No

*Please explain your response:*

As described above, the Commission has successfully transitioned to fully electronic record keeping.