



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. 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: Sheila Stokes, General Counsel
Court Services and Offender and Supervision Agency (CSOSA)
633 Indiana Avenue NW Suite 1234
Washington, DC 20004

Name of SAO: Leslie Cooper, Deputy Director
Pretrial Services Agency for the District of Columbia (PSA):
633 Indiana Avenue NW Suite 1100
Washington, DC 20004

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

Please list them below:

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

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

2a) *Provide a list of actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- *establishing formally approved email policies,*
- *use of any automated systems for capturing email,*
- *providing access / retrievability of your email,*
- *establishing disposition practices for agency email (either destroy in agency or transfer to NARA), and*
- *possible implementation of the Capstone approach for applicable agency email.*

CSOSA and PSA Records Management programs, in conjunction with the Information Technology Departments, are coordinating efforts to adopt and implement the Capstone Approach. These efforts include identifying the appropriate email accounts, updating the current email policy, and implementing training. Until the Capstone approach is implemented, CSOSA and PSA will continue to use the Enterprise Vault (EV) to store

and archive email. Emails of senior executives are preserved and backed-up daily to ensure permanent retention.

- 2b) *Provide a list of the actions your agency, components, or bureaus plan to take in 2016 to meet this goal.*

In order to fully meet the goal in 2016, the Agency is preparing to fully adopt the Capstone Approach. The accounts for permanent and temporary retention are being identified and will be submitted to NARA in the coming months. The EV will be configured to implement the appropriate dispositions and the Agency's email policy will be updated to reflect the changes.

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.

CSOSA and PSA policy states that Federal employees are prohibited from using non-official accounts to conduct agency business. Amendments to the Federal Records Act have been made available to all employees via internal agency websites.

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).

CSOSA and PSA are currently in phase two of a four-phase project to jointly implement a DOD 5015.2-certified Electronic Document and Records Management System (EDRMS). In collaboration with efforts to implement the Capstone GRS 6.1, all electronic messages of the agency head and other senior executives will be captured and maintained accordingly. Part of the EDRMS project includes configuring existing file shares, SharePoint, and other designated repositories to the approved master file plan. In the interim, CSOSA and PSA senior executives continue to manage their email by arranging and filing it according to its subject. Email is backed-up daily for retention purposes.

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

5a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal.*

CSOSA and PSA conducted a comprehensive inventory in 2014 to identify any unscheduled records. Both CSOSA and PSA continue to submit newly identified unscheduled records to NARA to ensure that the deadline is met.

5b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

Records Management officials are alerted by the program office whenever there is a unique new set of records, or if there is a new IT system that may require submission of a records schedule for approval.

CSOSA and PSA Policies are being updated to require new programs and/or any new record series that are being considered to be reviewed by the RM department prior to implementation.

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

6a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- *establishing formally approved electronic records policies,*
- *use of any automated systems for capturing electronic records,*
- *providing access / retrievability of your electronic records, and*
- *establishing disposition practices for agency electronic records.*

CSOSA and PSA have jointly implemented a four phase project to ascertain a DOD 5015.2 certified Electronic Document Records Management System (EDRMS), which will manage both permanent and temporary electronic records. To date, CSOSA and PSA procured a

contractor who assessed and evaluated the current state of both programs. Through the assessment, CSOSA and PSA identified several areas of priorities to be addressed that will ensure the Agencies are able to meet the 2019 deadline.

CSOSA and PSA have jointly agreed to create and manage permanent records going forward in an electronic format. Permanent records created in paper format prior to the decision will remain in paper format and will be handled accordingly. At this juncture, neither Agency is fiscally able to convert paper records into electronic records.

- 6b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

CSOSA and PSA plan to continue executing each phase of the EDRMS acquisition project. We are currently in phase 2 of the project, which proposes the actual acquisition of the EDRMS. CSOSA and PSA are on target with designated tasks and milestones. As detailed in the project plan, CSOSA and PSA will update the current electronic records policies and create governing plans.

Phase four of the EDRMS project also includes appropriate disposition of all permanent electronic records (to include transfer to NARA using the most up-to-date transfer protocols).

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.

CSOSA and PSA are on track to meet all of the upcoming goals outlined in the *Managing Government Records Directive*. The EDRMS project is a key element to support the transition to a digital environment. A critical factor contributing to the success of CSOSA and PSA is the manageable size of the agencies. In addition, the agencies have only a few years and a very small collection of permanent records in electronic format to manage.

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

Yes No

- 8a) *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.*

CSOSA and PSA conducted briefings with senior agency officials detailing their roles and responsibilities as they relate to managing records. A part of that briefing discusses requirements and expectations that will take place upon their departure. The change in the Presidential administration does not immediately impact CSOSA and PSA because the presidential appointee remains in office for two additional years after the change of administration. The additional time allows the Agency time to address the presidential appointee's records.

- 8b) *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.*

As part of an ongoing effort to improve and streamline processes within CSOSA and PSA, guidance and policy for exiting officials will be reviewed and updated to reflect changes in practice and protocol. The presidential appointee and senior agency officials will be briefed and trained on the new guidance upon implementation.