



*Senior Agency Official for Records Management
2017 Annual Report*

The [OMB/NARA Managing Government Records Directive \(M-12-18\)](#) requires Senior Agency Officials for Records Management (SAORM) 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* 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 January 8, 2018 and reports are due back to NARA no later than March 16, 2018.

NARA plans to post your 2017 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, 2017.
- 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 PRMD@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 and Offender Supervision Agency (CSOSA)
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(202) 220-5797

- 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?

Please provide list;

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

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

CSOSA and PSA jointly acquired a 5015.2 certified Electronic Document Records Management System (EDRMS). Both agencies are currently undergoing implementation of the system and expect to have a fully operating system by December 31, 2019.

3. Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)

- Yes
 No

Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.

Both agencies have evaluated the current state of permanent paper records and concluded that, due to limited resources, neither Agency is able to digitize older permanent records. Permanent records are now created electronically and maintained in electronic format throughout the life-cycle.

- 4. OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

Yes
 No

Please explain your response:

As a result of OMB M-17-22, CSOSA eliminated one office. PSA has not been required to eliminate any current offices or programs. However, both agencies' RM programs respond to changes in program structure, including when new programs/offices are being developed and when existing programs/offices are discontinued. As a result of training and outreach efforts, offices and programs within CSOSA and PSA coordinate changes with Records Management to ensure that the integrity of the agencies' records are maintained.

- 5. Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management <https://www.archives.gov/records-mgmt/bulletins/2017/2017-02.html>)

Yes
 No

Please explain your response

Records management requirements and responsibilities are supported by both Agency Heads. Records management is reflected within the strategic framework of both agencies. Additional strategic direction to comply with M-12-18 began in 2014, by developing a four-part phased approach to implementation of an EDRMS. Both agencies continue efforts to strengthen current RM training and outreach efforts. However, due to budget constraints, neither CSOSA nor PSA has been able to expand their programs to include additional FTEs.

6. **Have you, as the SAORM, ensured that 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

No

Please explain your response:

All senior officials receive training as part of their on-boarding process. Further, senior officials meet directly with the Records Officer/Manager once on board. The Records Officer/Manager discusses personally with senior officials their specific RM requirements at the onset and through-out their tenure.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))?**

Yes

No

Please explain your response:

Both CSOSA and PSA's RM programs continue to work closely with their respective Offices of Information Technology (OIT) to ensure proper management of information assets and resources. Additionally, PSA's OIT is currently developing a Strategic Plan that includes an assessment of the current information systems, and a plan to modify systems to support full life-cycle management of records. These modifications will ensure the proper management of temporary records created and maintained outside of the EDRMS. The Office of General Counsel continues to oversee the requirements of the Paperwork Reduction Act (PRA) and other resource-related strategies.

8. **What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)**

Both agencies require regular updates on the types of media that are accepted by NARA for the transfer of permanent records, as well as any pending or future changes to what is now considered a certified EDRMS.