



Senior Agency Official for Records Management 2020 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.

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 19, 2021, and reports are due back to NARA no later than March 19, 2021.

NARA plans to post your 2020 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- 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 2020 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 provide list:

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

2. Has the COVID-19 pandemic changed any policies or practices related to records management at your agency?

Yes

No

Do not know

CSOSA has been able to adjust with minimal impact to its records management program during the COVID-19 pandemic. As many CSOSA employees are still in a telework status there have been adjustments related to how the records management program conducts its business. CSOSA has leveraged virtual platforms to conduct its records management business throughout the pandemic. The main issues that CSOSA has had with records management relate to the sporadic need to obtain physical records located in the office as well being unable to send records to the FRC.

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

Yes

- No
- Do not know

CSOSA's records management program is currently under the Office of General Counsel (OGC), but the Agency is in the process of moving the program to be housed under the Office of Information Technology (OIT). As would be expected for this type of transition, there is constant communication between OGC via the SAORM, ARO, RM staff, and upper management in OIT. Moreover, as the agency is currently in the process of migrating its records from a Gimmel application to be managed electronically in an Office 365 environment, all of the aforementioned stakeholders participate in weekly meetings to ensure the migration is successful and that the Agency will be in compliance with the M-19-21 mandate.

4. 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)

- Yes
- No
- Do not know

CSOSA has established a DOD5015.2 certified platform that ensured we met the 12-31-2019, deadline for permanent records. As a result, the agency is 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. Currently, CSOSA is in the process of migrating its records from a Gimmel application to be managed electronically via Office 365.

5. Has your agency made progress towards managing all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)

- Yes
- No
- Do not know

CSOSA procured and implemented a DOD 5015.2 certified electronic document records management system (EDRMS) which supports both permanent and temporary records. The agency is 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 transition the Agency from a SharePoint Gimmel application to an Office 365 environment. The SAORM has engaged Directors while the Records Officer has worked directly with RMs and RLs to ensure a plan is in place for all temporary records to ensure a smooth transition.

6. Is your agency investing resources in IT to support the transition to electronic recordkeeping?

Yes

No

Do not know

The electronic records management program continues to evolve and is undergoing realignment to be more consistent with the Agency's direction. To this end, the SAORM remains engaged in the program and takes the necessary steps to ensure that the appropriate resources are in place to support the transition to electronic recordkeeping. In fact, the program is in the process of being moved from the Office of General Counsel (OGC) to the Office of Information Technology (OIT), which will allow for continued allocation of resources in IT to support the transition to electronic recordkeeping.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your agency have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

Yes

No

Do not know

Prior to the COVID-19 pandemic, CSOSA used the NARA Federal Records Center for storage. At this time, CSOSA does not have plans to use commercial storage to replace its use of the NARA Federal Records Centers. In understanding the M-19-21, 1.3 mandate the Agency's current plan is to continue to try to ship its eligible records to the NARA Federal Records Center prior to the December 31, 2022, deadline. Moreover, in preparation of the deadline, the Agency is trying to ensure all of its records will be managed electronically moving forward. In the event that this is not possible, CSOSA will look at its own facilities as well as commercial storage.

8. Does your agency have policies and procedures that include documentation to ensure records of newly appointed and 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.

Yes

No

Do not know

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 transfer of records are addressed.

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

Yes

No

Do not know

The challenge for CSOSA is that the Agency maintains a large volume of records that program managers wish 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. As such, a continued culture shift is required, but there have been positive steps taken in this regard.

Another challenge for meeting this goals 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.

Lastly, the records management program is in the process of transitioning from OGC to OIT. This can cause challenges if the transition is not done as efficiently as possible.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

Yes

No

Do not know

NARA has made itself available for discussions regarding CSOSAs program and the Agency has taken NARA up on its offer by meeting with several people from NARA to ensure the Agency's records management program is engaged in the best practices to ensure success as the program continues to transition.