NATIONAL ARCHIVES

OFFICE *of the* CHIEF RECORDS OFFICER

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 rmselfassessment@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: Leslie Cooper
- Position title: Director
- Address: 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?**

   This report covers the Pretrial Services Agency for the District of Columbia. Court Services and Offender Supervision Agency will report separately.

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

   X Yes
   ☐ No
   ☐ Do not know

   Please explain your response (include details of specific challenges, if applicable):

   Several key practices of the Agency have been affected by COVID-19. Close to 90% of the Agency is working remotely. While the Agency was working towards establishing a fully electronic records system, the pandemic thrust that process forward. To address the needs of staff working on-site and remotely, PSA implemented new applications that allowed staff to communicate and collaborate on records and information. Due to the speed at which these new tools were deployed, RM did not have the traditional time to collaborate to develop rules regarding use and establish RM requirements prior to deployment. However, RM has been able to retroactively develop procedures for new systems and establish a system to better control and manage records and information within new environments. Where necessary, new policies to support the changes are under development.

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)**

   X Yes
   ☐ No
   ☐ Do not know

   Please provide details on what support is needed:
   A Records Management Steering Committee was formed in September 2020 as a result of the sudden changes brought on by the pandemic. The Steering Committee is

comprised of each program/office director to ensure that all components of the Agency are well-informed of Records Managements initiatives, challenges, and directives as well as their office/program's responsibilities.

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)**

   X Yes
   ☐ No
   ☐ Do not know

   Please explain your response (include specific goals and example metrics):

   Permanent records have been identified and associated metadata assigned. This is an on-going effort as new sources of information are created. PSA started a project to fully implement an Electronic Document Records Management System (EDRMS) that was unable to be completed due to budgetary constraints; however, much of the work that was done as part of the project is enabling the process of managing permanent records. The Agency is currently preparing a new environment that will manage permanent records.

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

   X Yes
   ☐ No
   ☐ Do not know

   Please explain your response (include specific goals and example metrics):

   Temporary records have also been identified and associated metadata assigned. This, too, is an on-going effort as new sources of information are created. Identifying temporary records and assigning metadata was also a part of the EDRMS project. New efforts are underway that allow the Agency to continue its progress towards becoming fully compliant by December 31, 2022.

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

   X Yes
   ☐ No
   ☐ Do not know

   Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

Yes, the Agency invested a considerable portion of the budget to revitalize the Agency's mission critical information system to fully support transitioning from manual mission critical work processes to electronic work processes. The revitalization includes enabling life-cycle management of the records.

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
X No
☐ Do not know

Please explain your response (include specific goals and example metrics):

The records that are currently stored at the FRC are directly connected to the current mission critical information system. The new mission critical record and information system is scheduled to launch during July 2020. At that point, the Agency will begin transitioning from hard-copy files to fully electronic files. This transition will discontinue the need for storing hard-copy files.

8. **Does your agency have policies and procedures that include documentation to ensure records of <u>newly appointed and outgoing senior officials</u>* 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.

X Yes
☐ No
☐ Do not know

Please explain your response (include specific details of policies and procedures):

The records management policy includes directives for handling agency records at all levels.

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

X Yes
☐ No
☐ Do not know

Please explain your response (include details of specific challenges, if applicable):

Becoming fully compliant requires all systems of records to be updated to include life-cycle management. While the Agency has made significant process in transitioning many manual work processes into an electronic process, the final step of adding the life-cycle management component to these systems requires additional funding. At this point, the Agency does not have funding to update all of its systems.

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

Yes
X No
☐ Do not know

Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions):