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. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

The reporting period begins on January 10, 2022, and reports are due back to NARA no later than March 11, 2022.

NARA plans to post your 2021 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 records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2021, 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 2021 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: Agency Director
- Address: 633 Indiana Avenue, NW
            Suite 1100

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 a list, and also indicate any that are new or have been changed due to reorganization or other circumstances.

Pretrial Services Agency for the District of Columbia (PSA)

2. Has the COVID-19 pandemic impacted 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):

During the 2021 performance period, the Agency continued streamlining processes that were thrusted into electronic only procedures. This involved coordinating with external stakeholder agencies and modifying internal practices, because many of the processes prior to the pandemic involved the use of paper records. For example, the Agency provides daily courtroom support in both the local and federal courts in Washington, DC. Court proceedings typically generate several types of paper documents. The Agency coordinated with the courts to determine how these documents would be transmitted electronically between the multiple stakeholders, identified repositories, determined appropriate access levels, assigned metadata, and developed policy to support new procedures. The electronic platform that is impacted the most, Microsoft Office 365 (O365), is under Continuous Integration and Continuous Development (CIDI) to ensure legacy and new processes are configured into the system to support life-cycle management.

3. **Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

X Yes
☐ No
☐ Do not know

Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.

The Records Management Steering Committee, which was formed in 2020, is composed of the Agency's director and all senior leadership positions within the Agency. This committee is the forum used to ensure that all RM requirements, initiatives, projects, issues and concerns are communicated to each department head and throughout the Agency.

4. **Will your agency meet the goal to manage and preserve 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, example metrics, and/or challenges):

Permanent records have been identified and associated metadata assigned. This remains an on-going effort as new sources of information are created. With the implementation of O365, PSA is configuring the platform to manage permanent records through the life-cycle. The system is designed to move working documents, when they become final, into a disposition repository where the records will be maintained until final disposition, which is the accessioning to NARA. The configurations directly correspond to approved record schedules. The most challenging aspect of this process is the accessioning to NARA and the formats that will be required at the time.

5. **Will your agency meet the goal to manage and preserve all <u>temporary</u> records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

☐ Yes
X No
☐ Do not know

Please explain your response (include specific goals, example metrics, and/or challenges):

As with permanent records, temporary records have been identified and associated metadata assigned. O365 is designed to manage records through the life-cycle. Configurations directly correspond to approved NARA schedules. There are two challenges for temporary records: (1) modifying legacy systems which contain temporary records. These systems require modifications that will enable life-cycle

management; (2) third-party hosted systems. The hosted systems traditionally have not been <u>required</u> to enforced approved record schedules. New protocols are required for both the Agency and the hosted systems to automate disposition. Both challenges require funding and additional resources to ensure timely adherence to scheduled dispositions. Temporary records are 90% of the records generated by the Agency.

6. **Does your agency have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

    ☐ Yes
    X No
    ☐ Do not know

    Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.

    PSA is in the final stages of configuration and testing for O365. It is our expectation to fully transition to electronic life-cycle management by to December 31, 2022.

7. **Is your agency utilizing the General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

    X Yes
    ☐ No
    ☐ Do not know

    Please explain your response. If 'Yes,' please include specific examples and how this will support records management process es. If 'No' or 'Do not know,' please explain.

    The Agency used GSA 518210 ERM with the initial purchase of the Gimmal
    Software, which was going to be used as the Agency's EDRMS. However, the Agency changed its course in 2019 and decided to move with a cloud base platform. The GSA 518210 ERM was not used for that procurement

8. **Has your agency developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?***

    ☐ Yes
    X No
    ☐ Do not know

    *M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers. Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.

The Agency will no longer use a storage facility to hold temporary records. The category of records that is currently sent to the Federal Records Center is being converted to electronic. As such, the Agency will no longer require off-site storage.

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 electronic involves massive change management. Along with ensuring electronic systems are designed to manage records life-cycles, new policies and procedures must be established as well as training. Ensuring the Agency has incorporated fail proof back-up systems for emergencies.

10. **NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

☐ 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):