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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Bi-Monthly Records and Information Discussion Group

To Ask Questions

Chat via YouTube

or

Email rm.communications@nara.gov



August 17, 2022



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Welcome
Jay Trainer
Executive for Agency Services

AGENCY SERVICES



- Welcome
- Opening Remarks
- Federal Records Centers Updates
- Federal Agency Annual Reporting: Annual Report 2021
- Office of Government Information Services (OGIS) Update: RMSA Reporting and the FOIA Advisory Committee

NARA Updates

- ERA 2.0 update
- NARA Guidance
- AROC renewal



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FRCP Updates

Christopher Pinkney

Jefferson Lunsford

Arthur Hawkins

Federal Records Centers Program



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Federal Agency Annual Reporting: Annual Report 2021

Cindy Smolovik
Oversight and Reporting

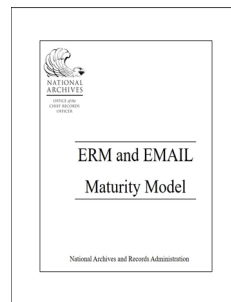


Annual Reporting 2021

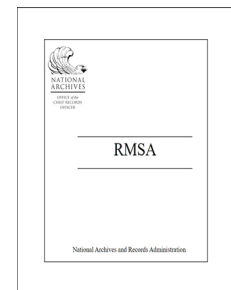
- Reporting Period = Jan 10 to March 11, 2022
- Response Rate = 96%
- Topics
 - M-19-21
 - Impacts of COVID-19
 - Information Governance
 - RMSA and Maturity Model Risk Levels
 - Major Weak Points for ERM



Senior Officials' perspective on an agency's records management program. The 2021 SAORM Reports focused on the impact of COVID-19, M-19-21 targets to transition to fully electronic recordkeeping and integrating records management into the information governance framework.



Agency records officers assess their individual agency's electronic records and email management using a risk-based maturity model template based on Universal ERM Requirements and NARA's published success criteria.

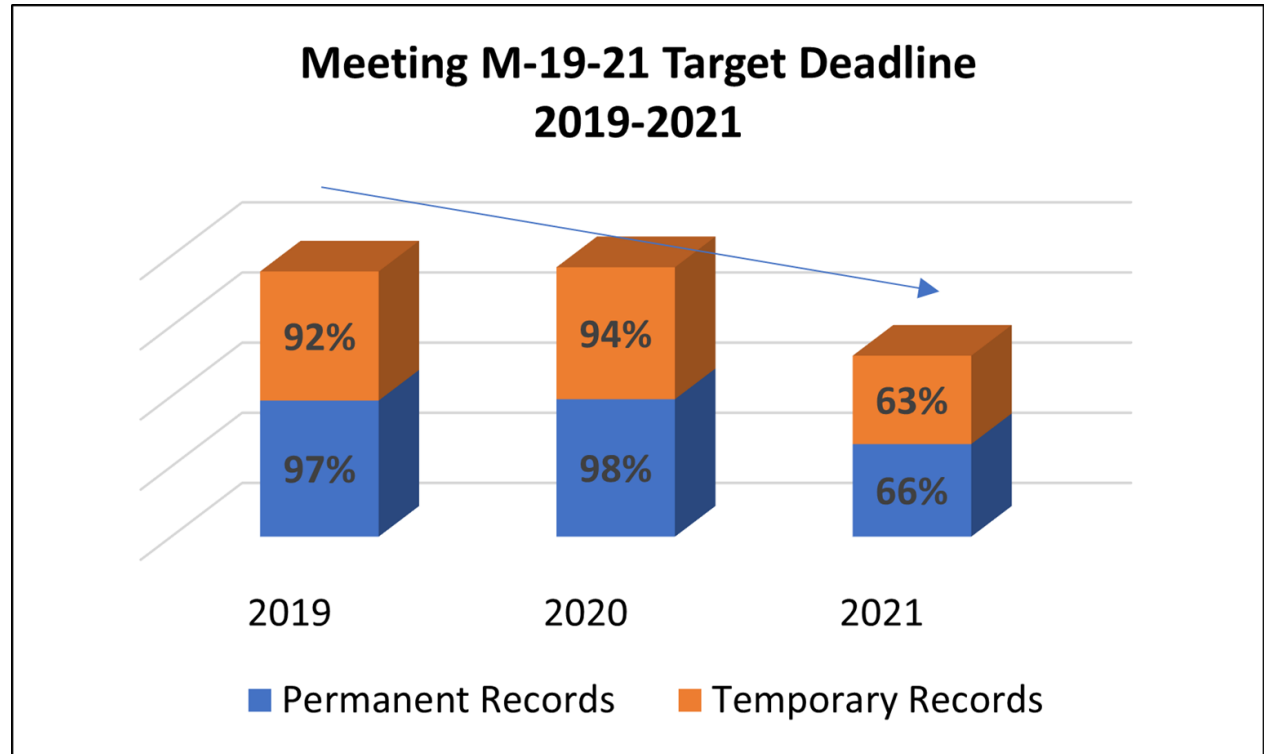


Agency records officers provide an evaluation of their individual agency's compliance with Federal records management statutes, regulations and program functions.

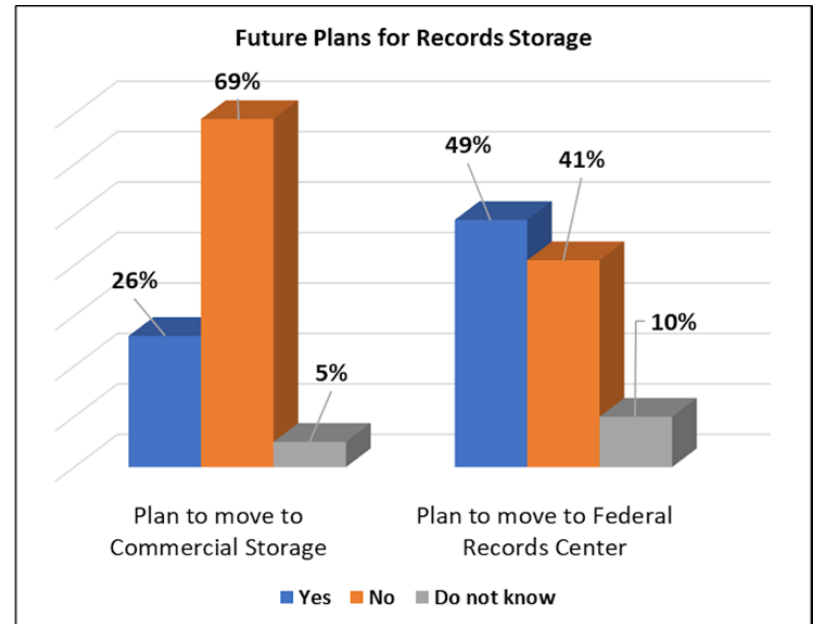
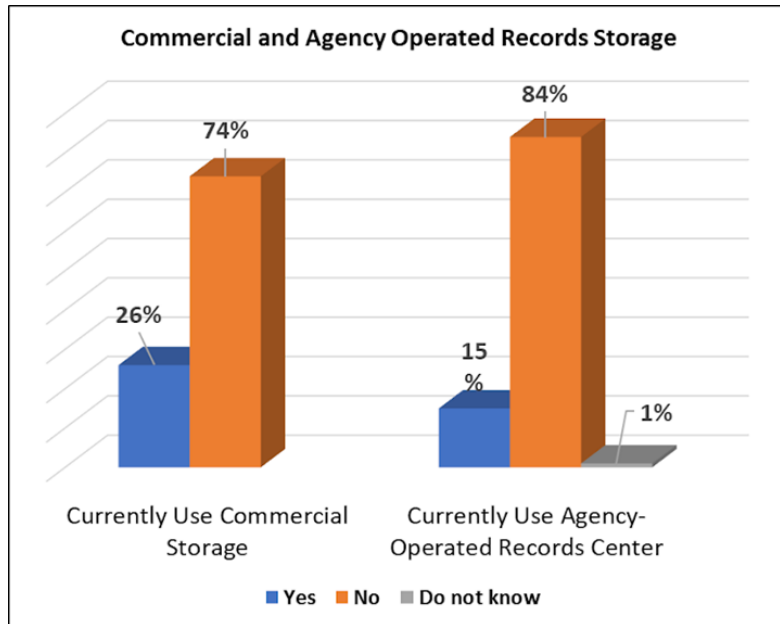


M-19-21: December 31, 2022

There was a considerable drop in agencies' confidence in goals to manage permanent records with associated metadata and temporary records in electronic formats by December 31, 2022.



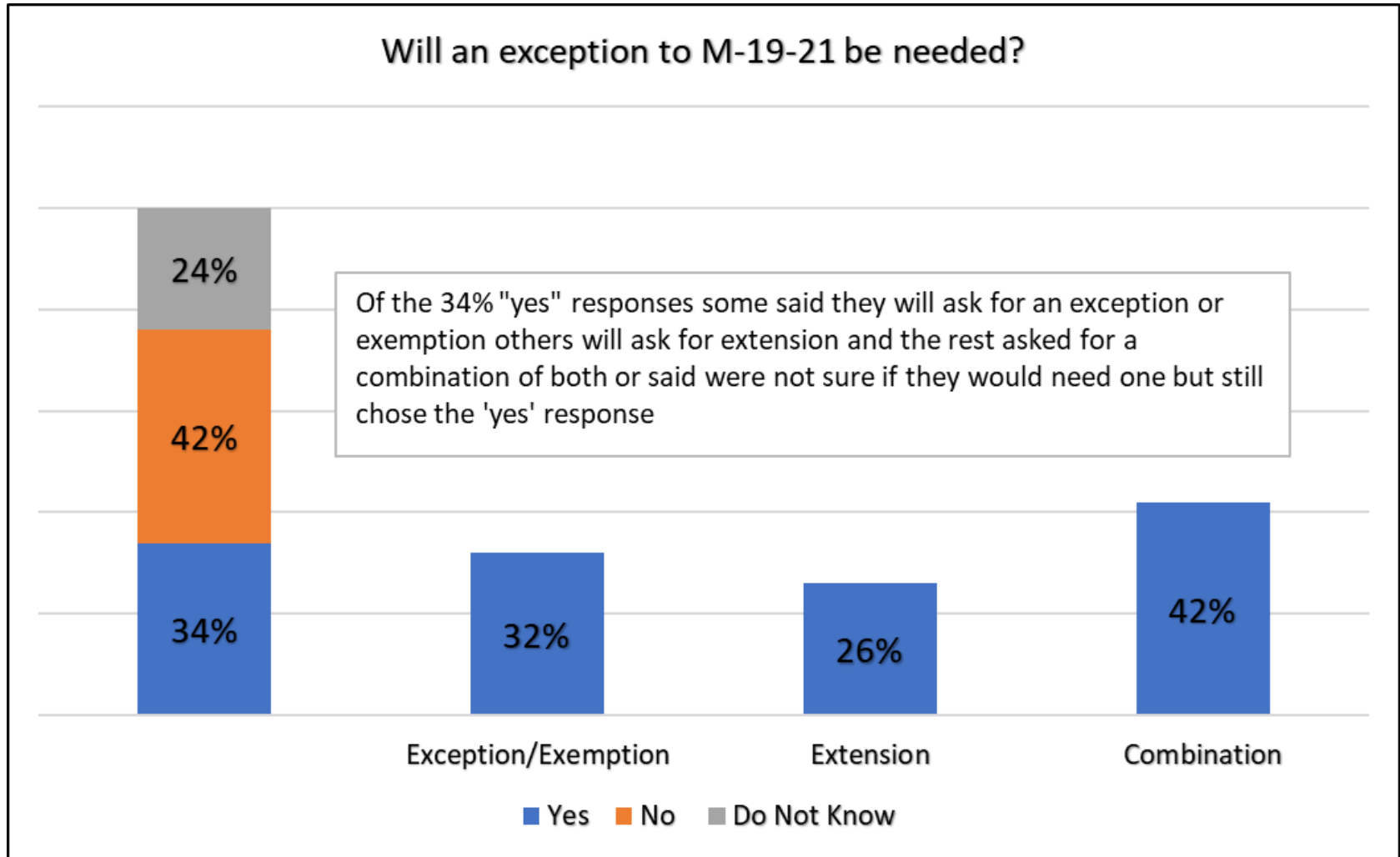
M-19-21: Records Storage



- Most agencies do not currently use commercial storage
- Most agencies do not plan to use commercial storage in the future
- Most agencies plan to either transfer records to the FRCs or use agency space



Exception To M-19-21





Top Responses to the Impact of COVID-19 Question		
Q2_COVID-19 IMPACTS_Negative	Q2_COVID-19 IMPACTS_Actions	Q2_COVID -19 IMPACTS_Positive
Limited FRC Operations	Reevaluate and update business processes	Accelerated transition to electronic recordkeeping
Limited ability to access paper in storage or office space	Telework	Changes to Policy, Process and requirements not needed
Disposition delays	Provided additional information for virtual work environment	No impact/No Details
Reduced ability to conduct evaluations	Successful remote access to electronic records	Successful remote access to electronic records
Delays in efforts to meet M-19-21 deadlines	Updated policies, procedures, guidance	All records managed electronically prior to pandemic

**Top Responses for Use of General Services
Administration's Special Item Number
for Electronic Records Management Procurements**

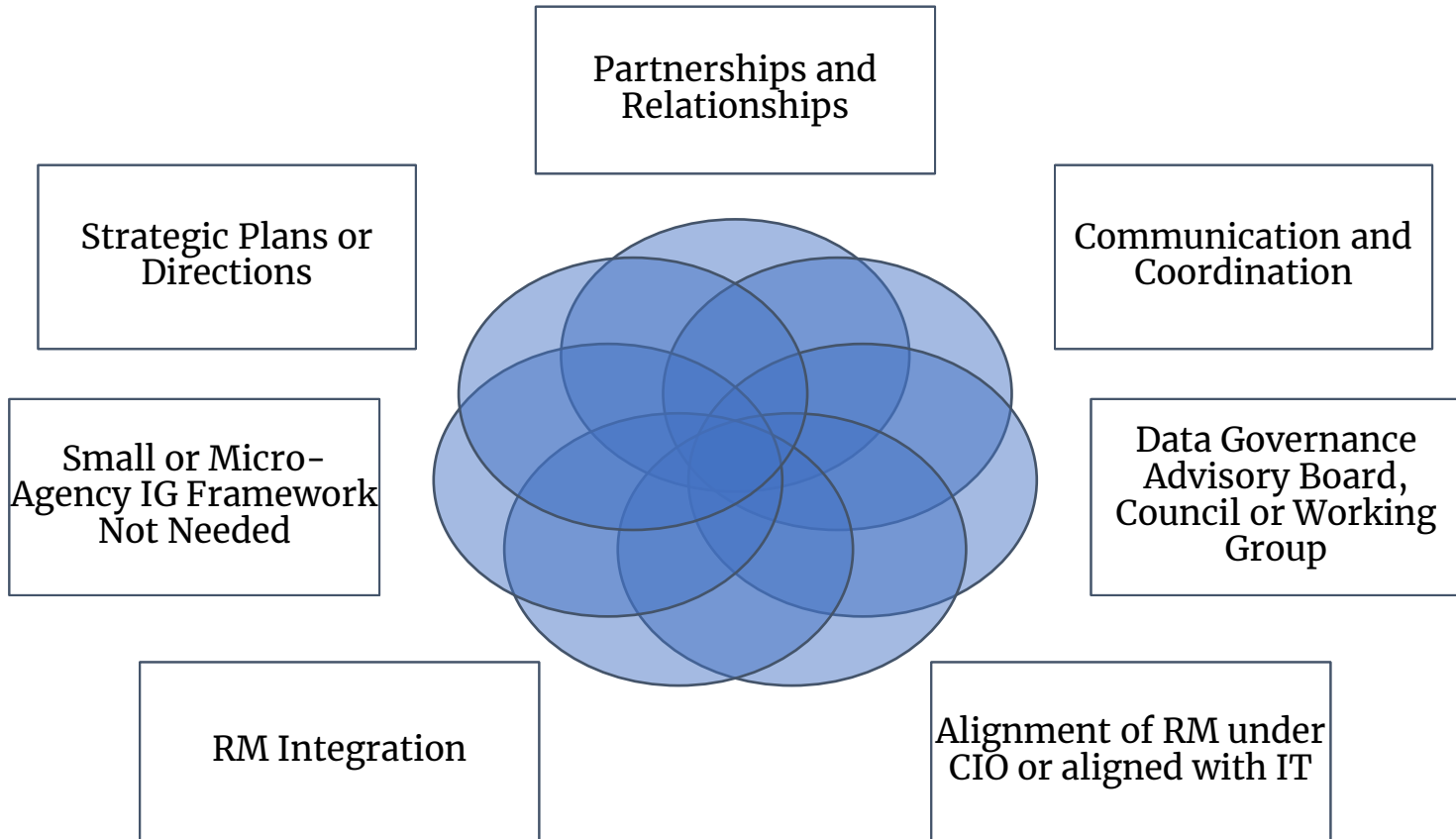
Yes = 29%

- Will look into it in the future
- Have or are using it
- Have not used it
- Planning on using it

No = 64% and Do Not Know = 8%

- Already have something in place
- Service not needed
- ERM established before GSA SIN established
- Lack of funding
- Decided to go in another direction
- Unaware of the service

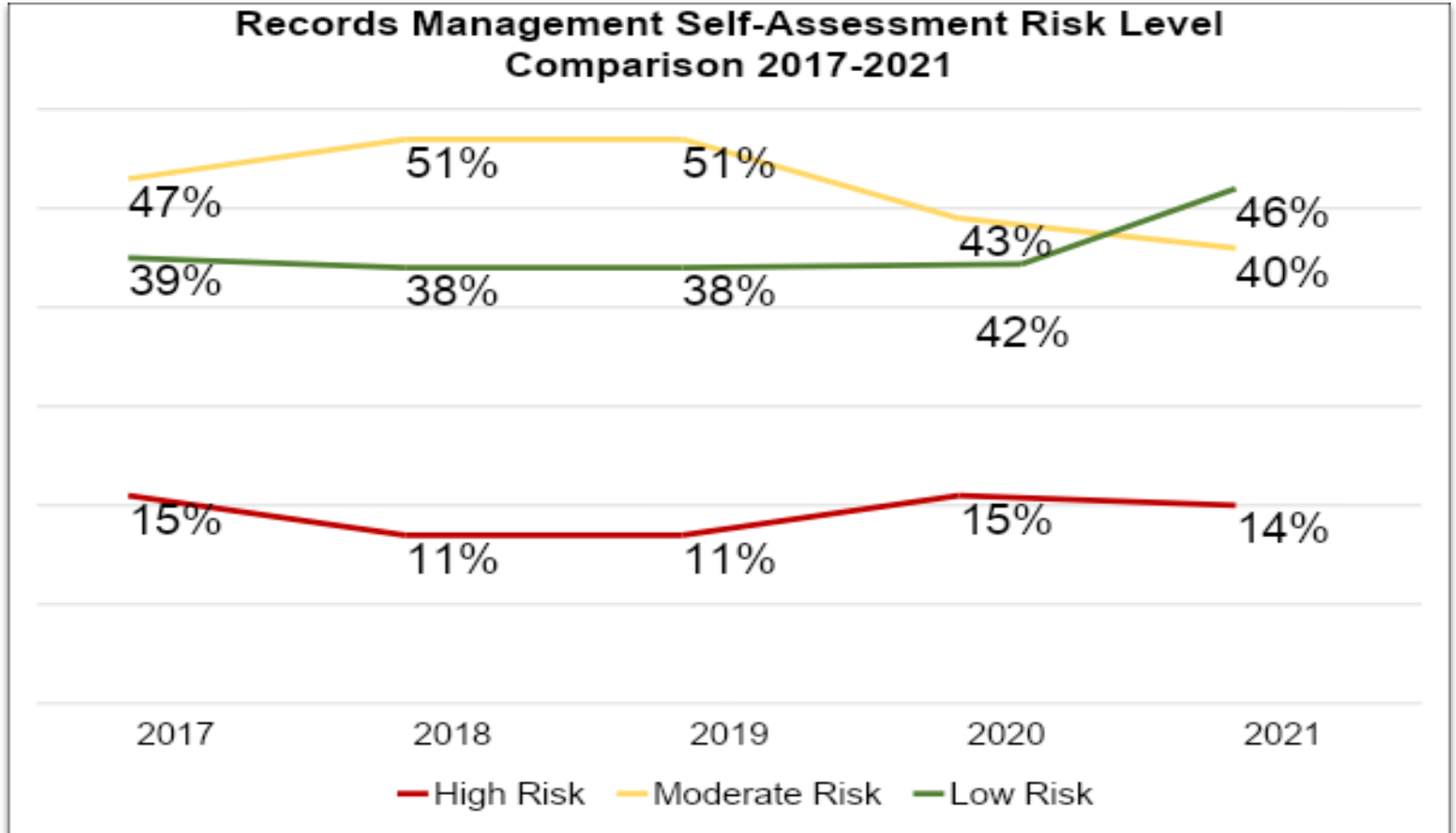
Top Responses to Information Governance Framework



Senior Agency Official for Records Management 2021 Reports - April 2022



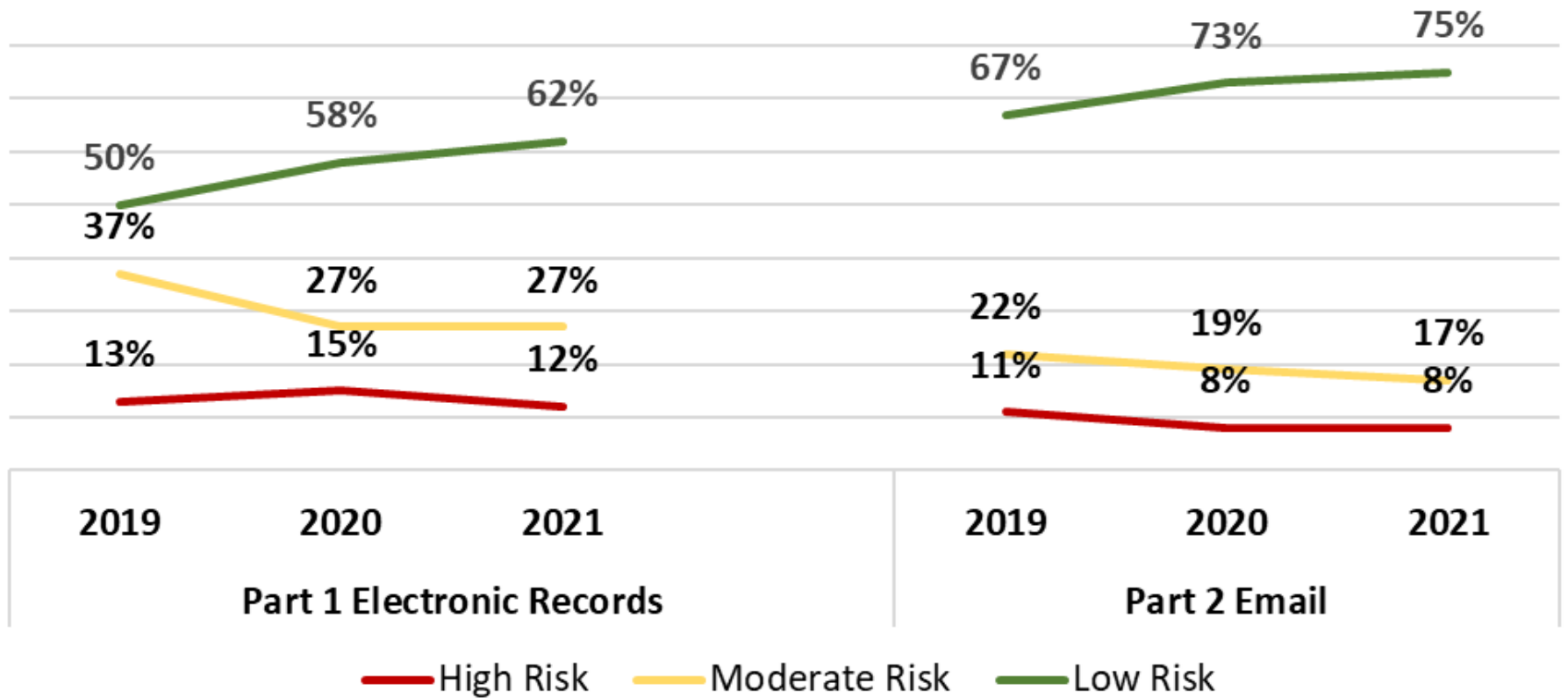
RMSA Risk Levels



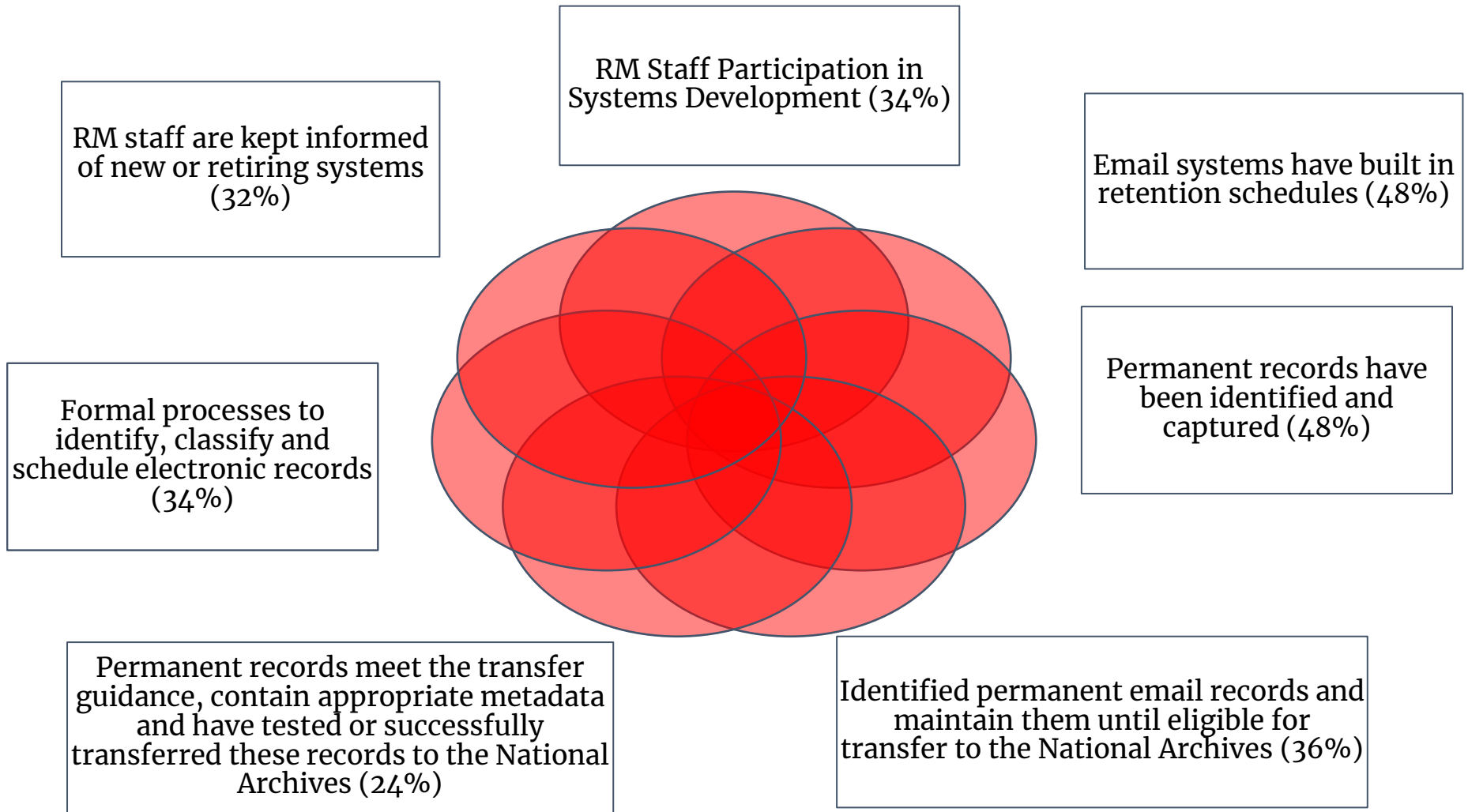


Maturity Model Risk Levels

Federal Electronic Records and Email Management Risk Level Comparisons 2019-2021



Major Weak Points for ERM





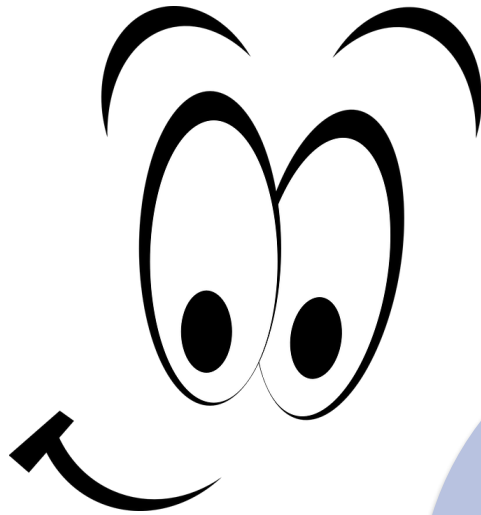
Where To Find More

- Federal RM Annual Report to Congress
[archives.gov/records-mgmt/resources/self-assessment.html](https://www.archives.gov/records-mgmt/resources/self-assessment.html)
- SAORM Reports
[archives.gov/records-mgmt/resources/saorm-reports](https://www.archives.gov/records-mgmt/resources/saorm-reports)
- Maturity Model Data
[archives.gov/records-mgmt/resources/email-mgmt-reports](https://www.archives.gov/records-mgmt/resources/email-mgmt-reports)



Office of the
Chief Records
Officer

Cycle Begins Again



Preparing
questionnaires
and templates
for 2022 to run
in 2023

Watch for AC
Memo
announcing the
dates

Questions:
rmselfassessment@nara.gov



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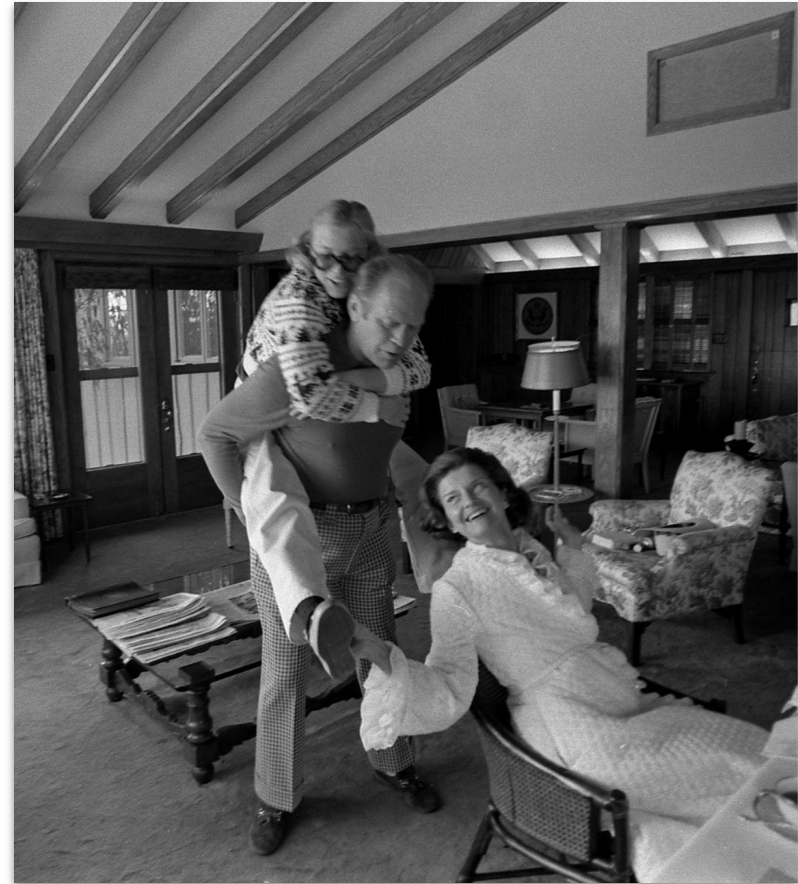


Kirsten Mitchell

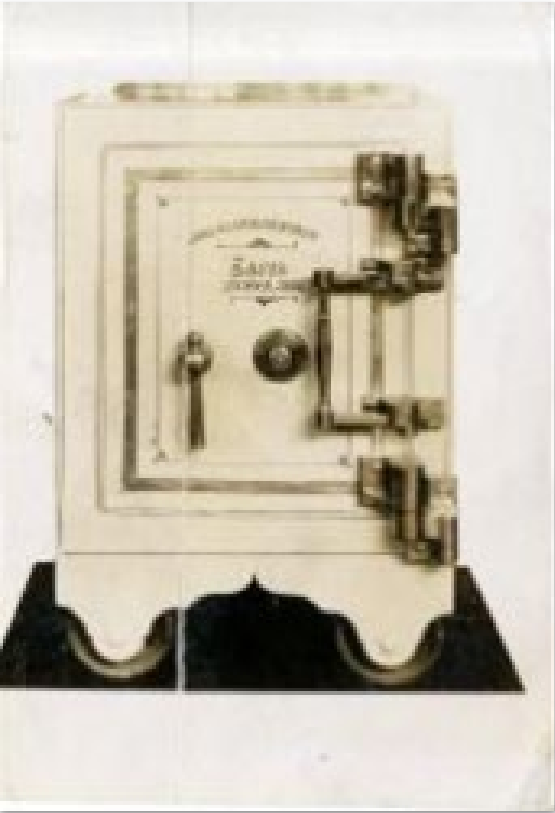
**OGIS Update: RMSA Reporting & FOIA Advisory Committee Update
Office of Government Information Services**

Piggyback on RMSA Four FOIA questions:

- COVID-19 effect on FOIA process
- Agency Records Officer & Chief FOIA Officer relationship



NARA Identifier 7140633



COVID-19 pandemic:

- Majority of agencies reported no disruption
- Those reporting disruption: 78% reported paper records inaccessible due to office closures

NARA Identifier 45641639

Agency Records Officer and Chief FOIA Officers:

- 4-percentage-point increase in working together on IT requirements
- 6-percentage-point increase in working together to identify programs or offices most likely to have responsive records



NARA Identifier 515550



Of 21 recommendations from 2020–2022 term, four touch on records management:

- FOIA websites
- Native format & metadata
- FOIA & 508 compliance
- First-person FOIA

Recommendation 2022-07

FOIA websites:

- Descriptions of records maintained
- Agency records schedules
- “Capstone” email policy, list of Capstone officials & agency email retention policy



NARA Identifier 6519882

Recommendation 2022-08

Chief FOIA Officers Council
working group:

- Best practices for release of records in native format with metadata



NARA Identifier
23003896



Recommendation 2022-09

Chief FOIA Officers Council working group:

- Challenges between FOIA & 508 compliance



NARA Identifier 253144028



NARA Identifier 23379771

Recommendation 2022-11

First-person FOIA:

- Make automatically available records for benefits & administrative proceedings without requiring FOIA request



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General Q&A

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NEXT MEETING

Tuesday

October 18, 2022

1:30 pm EST/10:30 am PST

rm.communications@nara.gov

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archives.gov/records-mgmt/meetings/index.html



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