# Bi-Monthly Records and Information Discussion Group

**To Ask Questions**

Chat via YouTube

*or*

Email:
rm.communications@nara.gov

August 15, 2023

National Archives
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# Welcome

## Laurence Brewer

Chief Records Officer for the U.S. Government

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- Chief Records Officer for the U.S. Government update

- Federal Records Centers Program (FRCP) update

- G-Invoicing and FY24 FRCP rate development updates

- RM annual reporting update

- Office of Government Information Services (OGIS) update on annual reporting responses

- Universal ERM Requirements, version 3

- ERA 2.0 updates

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# Federal Records Centers Program (FRCP) Update

**Scott Thompson**

Acting Director

Customer Relationship Management Branch

Federal Records Centers Program

# Questions

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# RM Annual Reporting Update

**Cindy Smolovik**

Supervisory Archives Specialist

Records Management Oversight and Reporting

- Reporting period – January 9th through March 10th 2023

- Covering activities in CY 2022

- Response Rate
  Records Management Self-Assessment = 95%
  Federal Electronic Records and Email Management = 94%
  Senior Agency Official for Records Management = 96%

- Annual Report to Congress
  Posted on-line
  Sent to Congress by the Archivist of the United States
  AC Memo (AC 42.2023, July 31, 2023)

**SAORM** → Senior Officials' perspective on progress on strategic records management initiatives, including actions taken to promote fully electronic recordkeeping. Individual SAORM reports, including the template, are available on-line
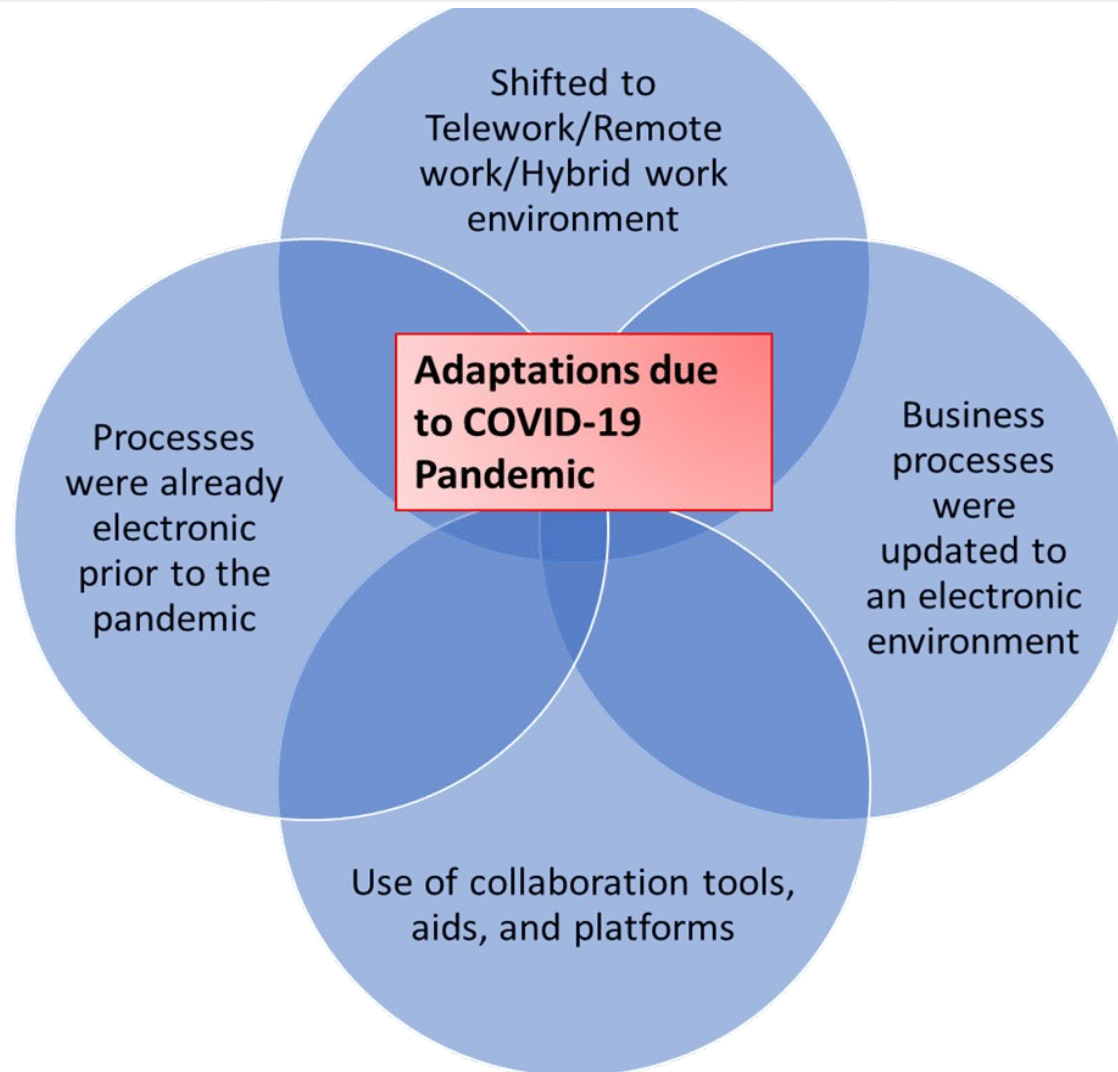
**ERM & EMAIL** → Agency records officers assess their individual agency's electronic records and email management using a risk-based maturity model template based on Universal ERM Requirements and NARA's published success criteria. Download-able spreadsheet available on-line
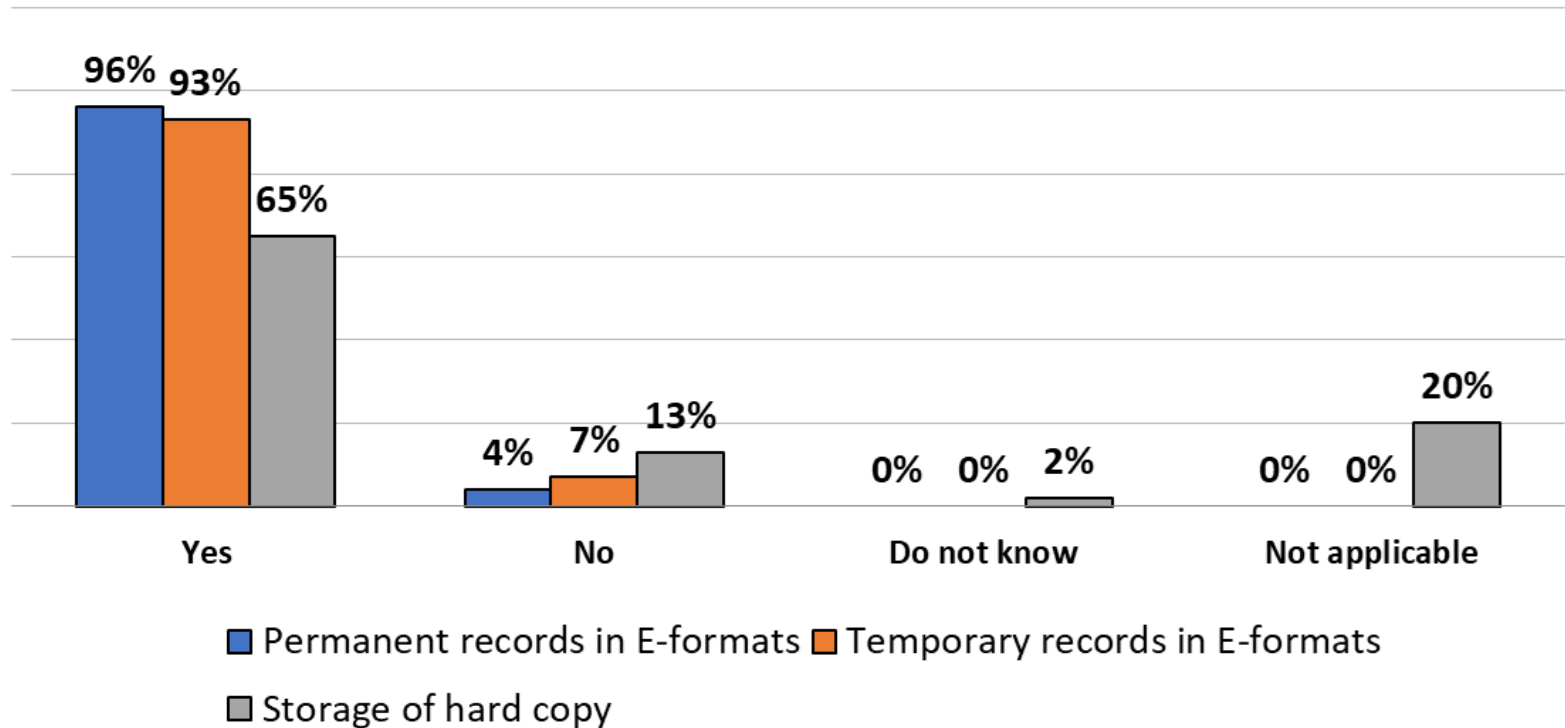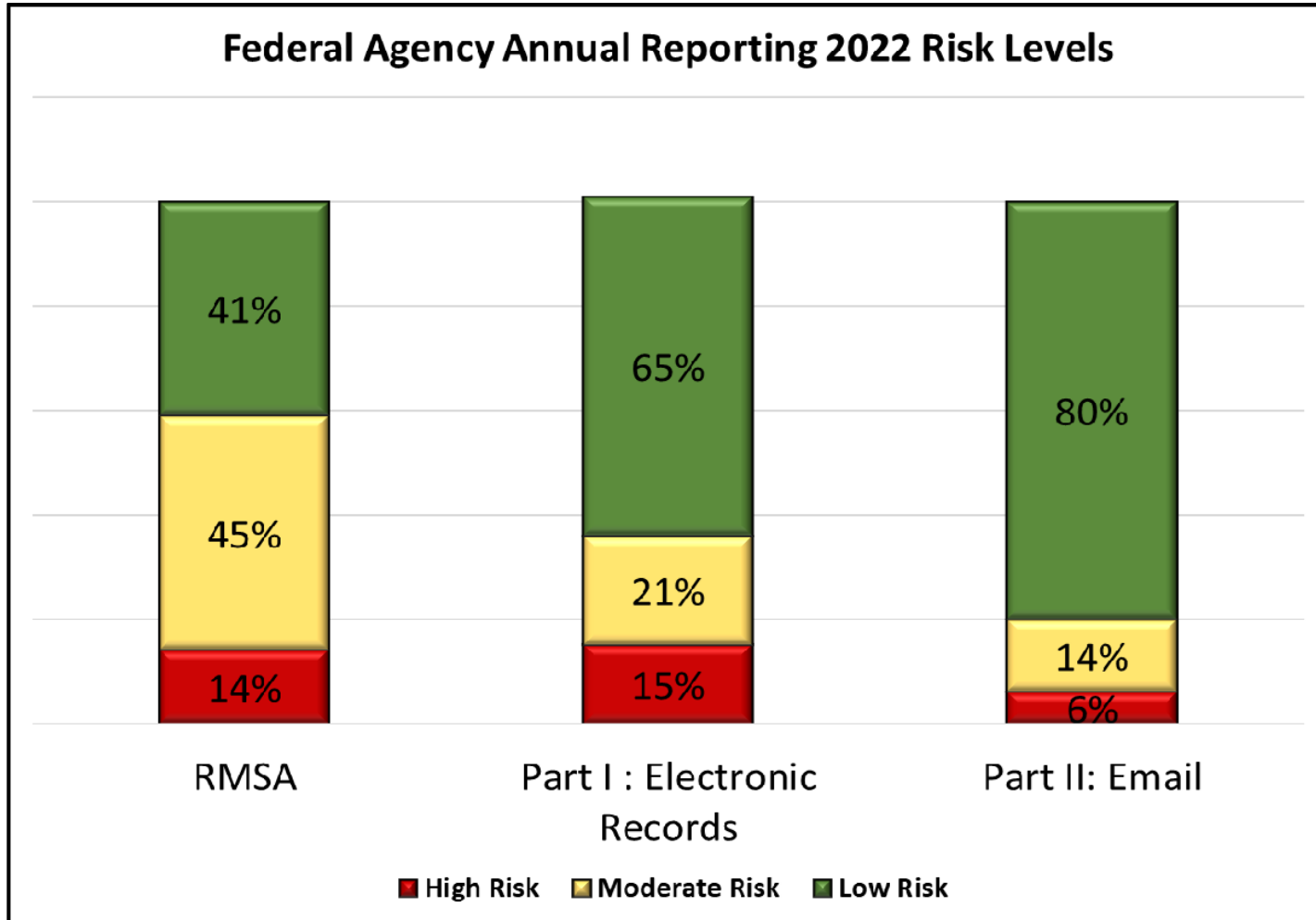
**RMSA** → Measures compliance with federal records management statutes and regulations Compliance with this framework ensures agencies can document decisions and activities for their business and mission functions
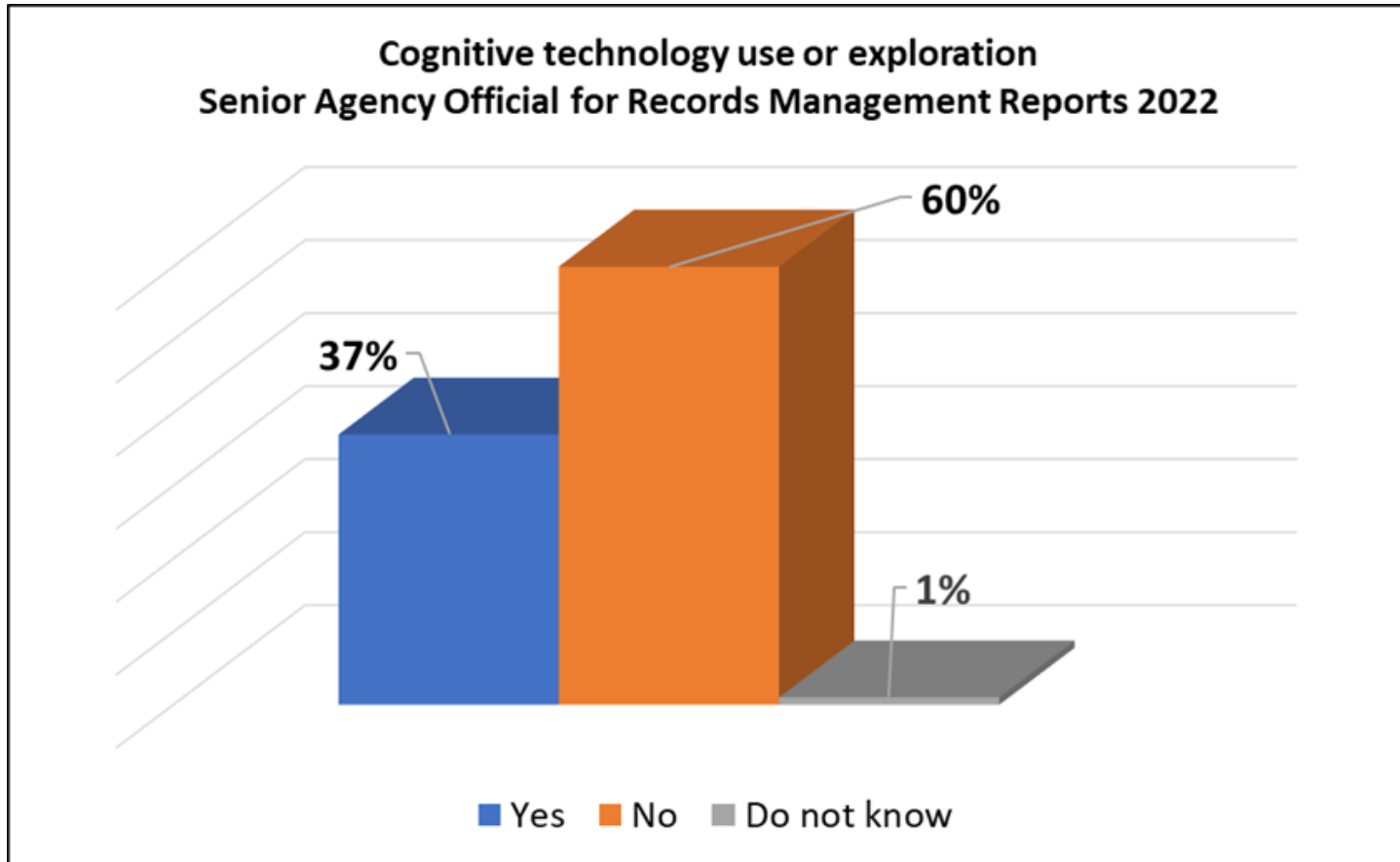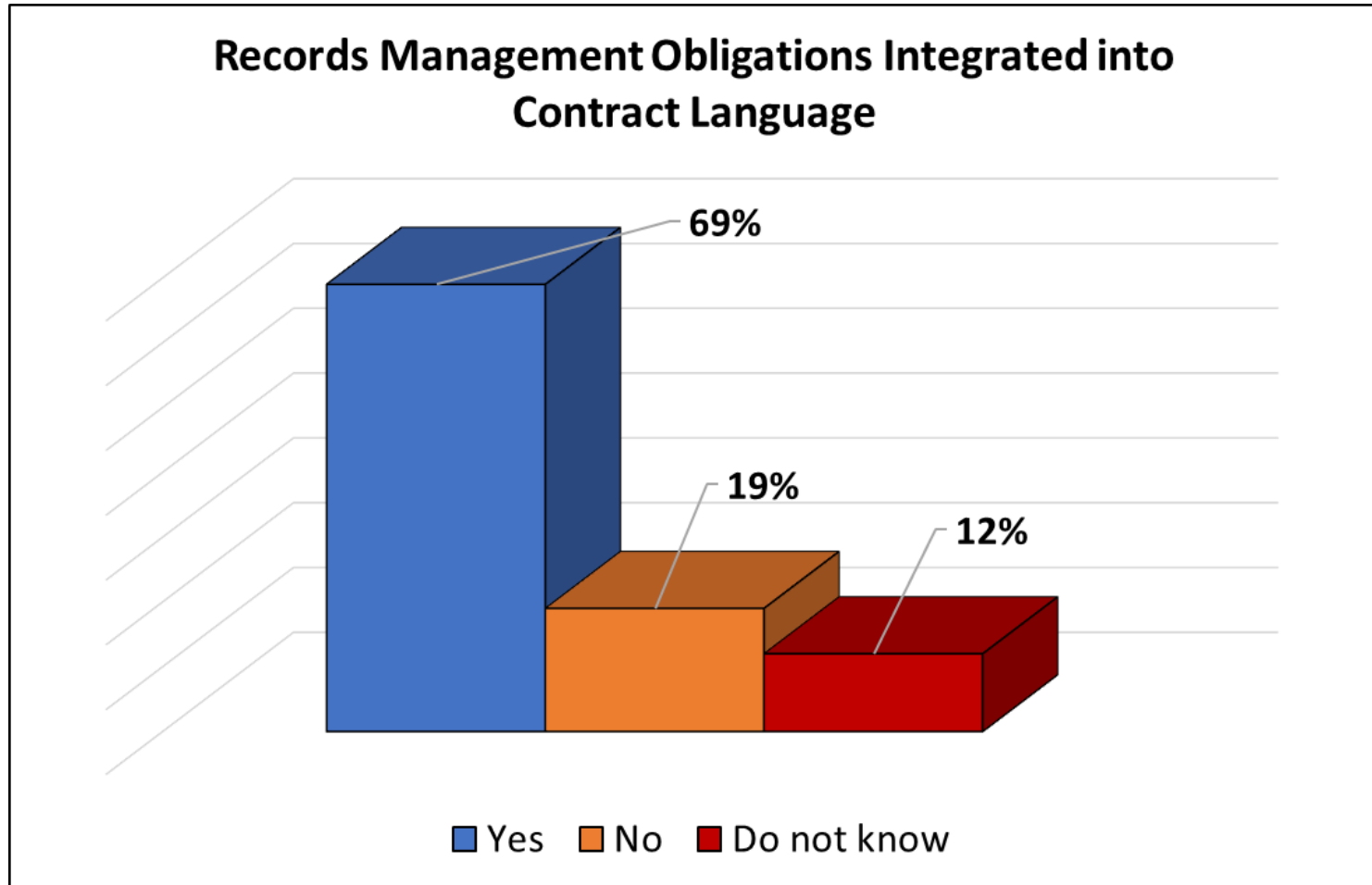
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Shifted to Telework/Remote work/Hybrid work environment

Processes were already electronic prior to the pandemic

**Adaptations due to COVID-19 Pandemic**

Business processes were updated to an electronic environment

Use of collaboration tools, aids, and platforms

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**Senior Agency Official for Records Management Reports 2022**
**M-19-21 and M-23-07**

Legend:
- ■ Permanent records in E-formats
- ■ Temporary records in E-formats
- ■ Storage of hard copy

| | Permanent records in E-formats | Temporary records in E-formats | Storage of hard copy |
|---|---|---|---|
| Yes | 96% | 93% | 65% |
| No | 4% | 7% | 13% |
| Do not know | 0% | 0% | 2% |
| Not applicable | 0% | 0% | 20% |

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**Federal Agency Annual Reporting 2022 Risk Levels**

RMSA: 14% High Risk, 45% Moderate Risk, 41% Low Risk

Part I : Electronic Records: 15% High Risk, 21% Moderate Risk, 65% Low Risk

Part II: Email: 6% High Risk, 14% Moderate Risk, 80% Low Risk

Legend: High Risk, Moderate Risk, Low Risk

Cognitive technology use or exploration
Senior Agency Official for Records Management Reports 2022

Records Management Obligations Integrated into Contract Language

- Yes: 69%
- No: 19%
- Do not know: 12%

Digitization Strategies
RMSA 2022

Digitizing temporary records that will become recordkeeping copy — Working on it: 36%, Yes or to some extent: 64%

Strategy includes reformatting hard copy and analog formats — Working on it: 21%, Yes or to some extent: 78%

Identifying permanent series needing digitizing — Working on it: 15%, Yes or to some extent: 74%

Legend: ■ Working on it    ■ Yes or to some extent

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## Digitized Version Suitable Quality to Replace Original Source Records
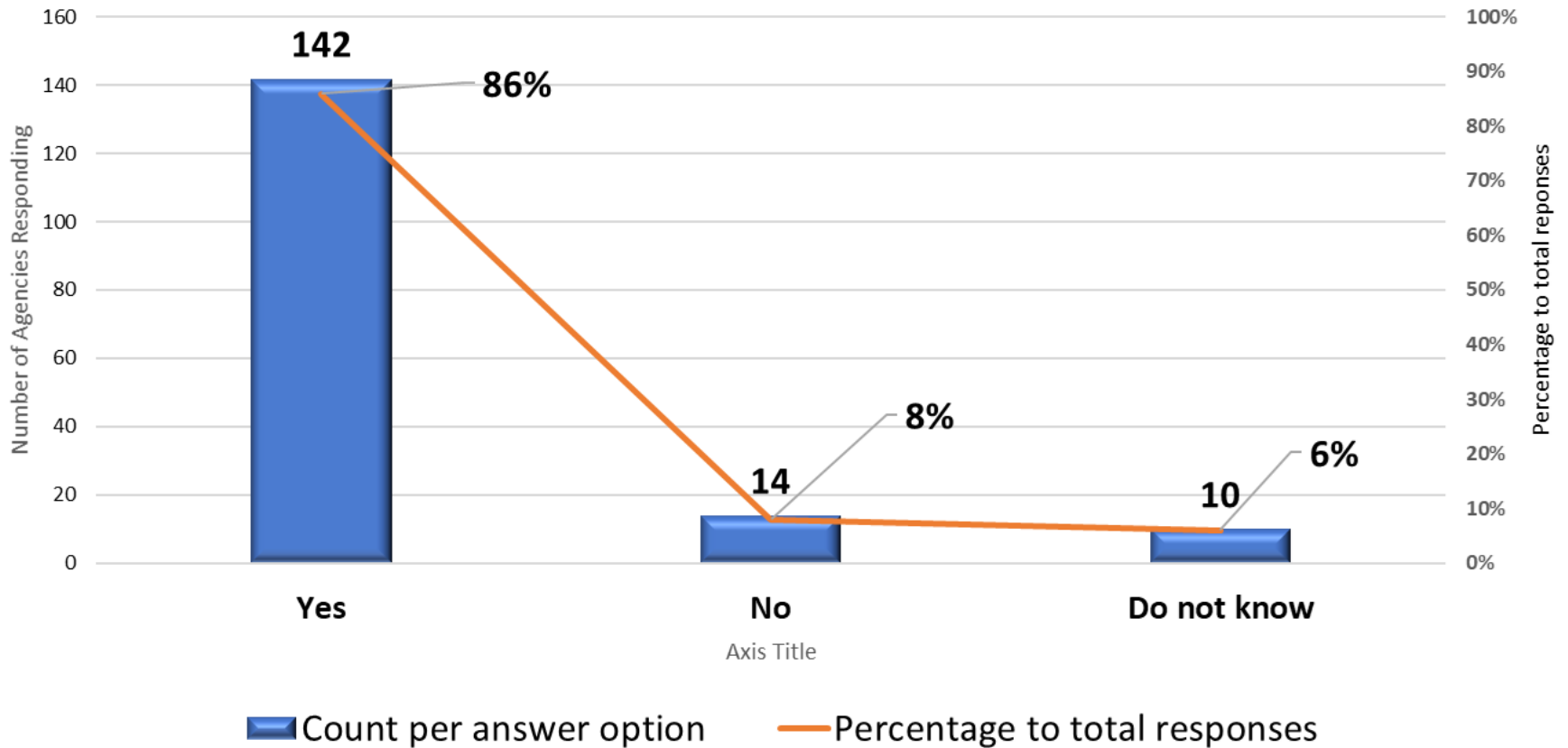
Email Capture and Maintenance
Rise of Cloud Storage vs Decline of Print and File
RMSA 2022
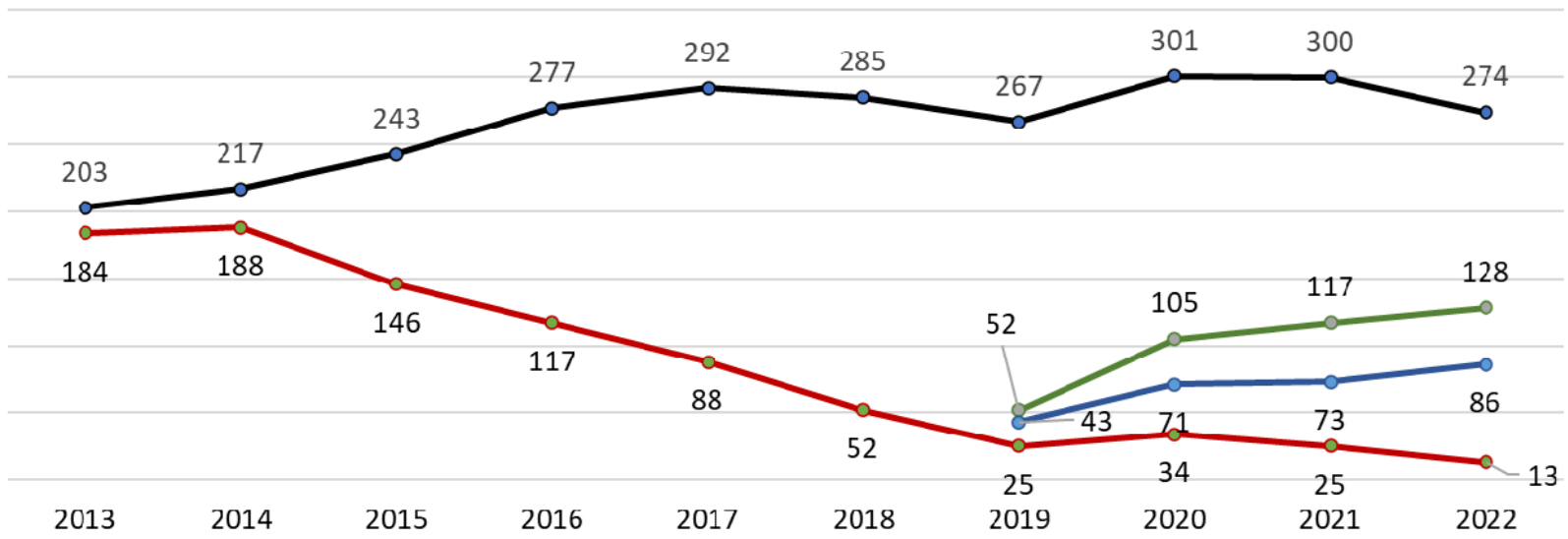
**2023 preparations July-December 2023**

2024 data gathering, analysis and validation

(Jan-April)

2024 report drafting and reviews

(May-June)

2024 final report dissemination

July-August

# Questions

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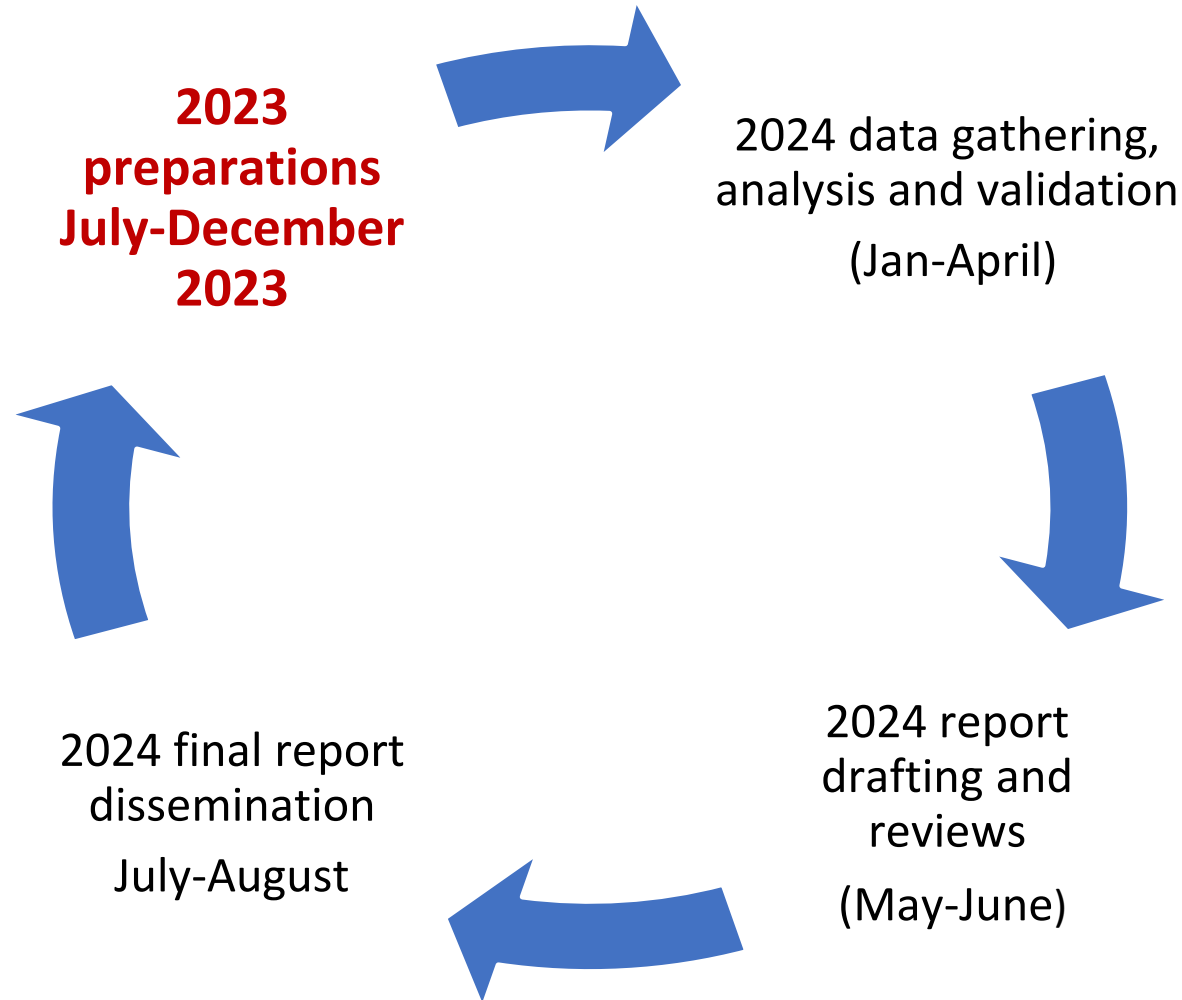
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**Daniel Levenson & Kimberlee Ried**

Office of Government Information Services Update
Records Management Self-Assessment Reporting

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## Piggyback on Records Management Self-Assessment (RMSA)

## Six FOIA questions:
- COVID-19
- Agency Records Officer & Chief FOIA Officer relationship
- e-discovery
- Proactive disclosure



NARA Identifier 12065

Full report: archives.gov/ogis/foia-compliance-program/agency-self-asessments/2022-rmsa

NARA Identifier 45499357

# COVID-19 pandemic:

- 79% of agencies reported either minimal or no pandemic-related backlog

- 18% of agencies reported a moderate or significant pandemic-related backlog

Agency Records Officer (ARO) and Chief FOIA Officers (CFO) working relationship:

- 44% of respondents reported that the ARO and CFO work together to identify programs or offices most likely to have responsive records.

- 43% of respondents report that the ARO and CFO provide training on records management and FOIA to each other's staff.

- 42% of respondents reported that training programs include the importance and relationship between FOIA and records management.



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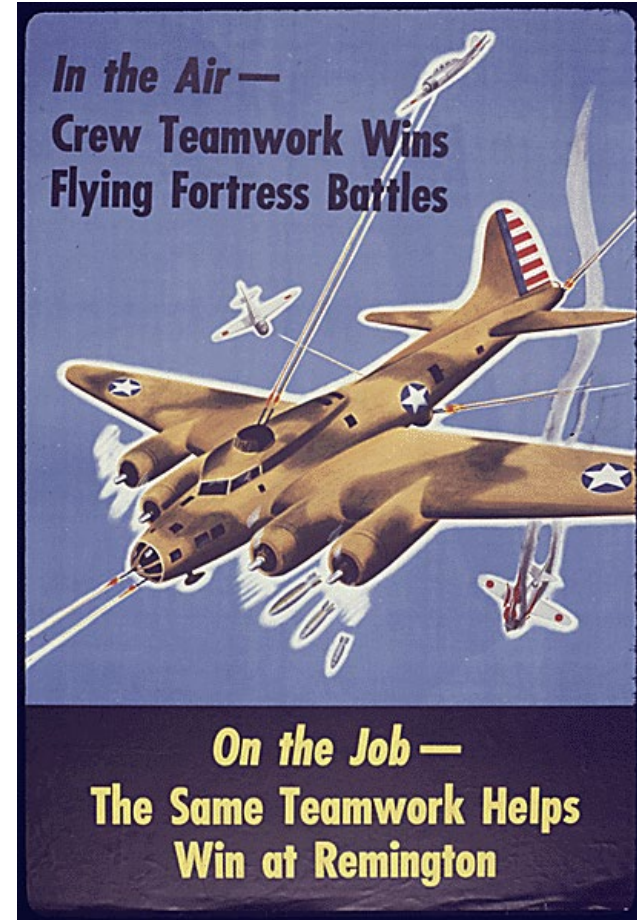
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# e-discovery:



National Archives Identifier 81547844

- 73% reported using e-discovery tools in their FOIA searches
- The most common use of e-discovery in FOIA searches involves requests for email records—88% of those agencies that use e-discovery use it for this reason.
- The most common reason why e-discovery is not used for FOIA is that it is unavailable at certain agencies—63 % of FOIA offices that do not use e-discovery cite this as the reason.

Proactive disclosure:

- A majority of respondents (57%) make proactive disclosures "as needed" rather than routinely.

- A quarter (25%) of respondents reported making proactive disclosures on a routine basis.
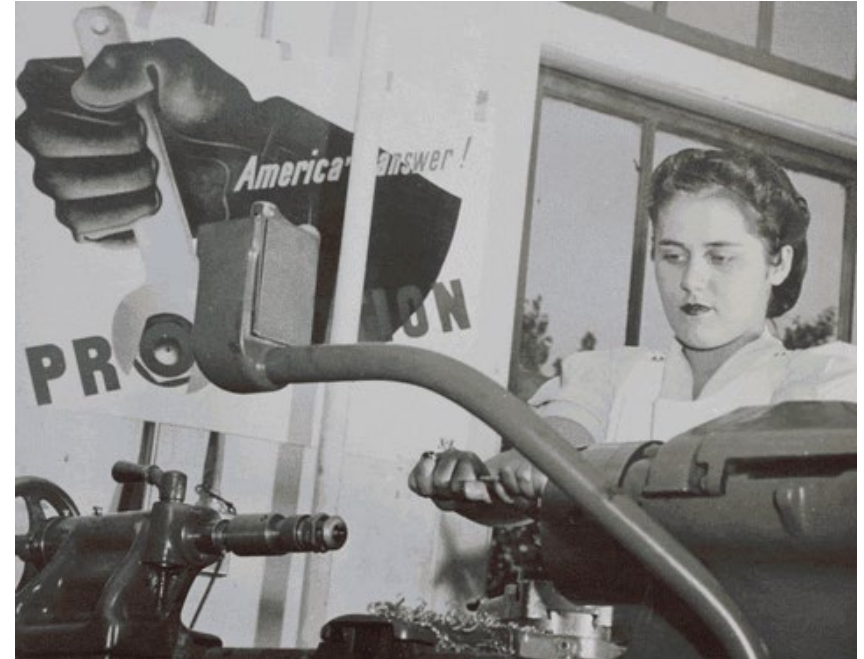


National Archives Identifier 7350942

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# Universal ERM Requirements, Version 3

## Beth Cron

Records Management Policy and Program Support,
Office of the Chief Records Officer

**Version 3 is Out!**



- Updates include:
  o New tabs for Digitization of Perm & Temp Records
  o Consolidated Records Types
  o Removed Transfer Format tab
  o Updated abstract and glossary

- Updating GSA procurement schedules:
  - Electronic Records Management Solutions (518210ERM)
  - Document Conversion Services (518210DC)
- Questions:

recordsmanagement@gsa.gov

Updating Federal Integrated Business Framework (FIBF):

- Federal Business Lifecycles
- Business Capabilities
- Business Use Cases
- Standard Data Elements
- Service Measures
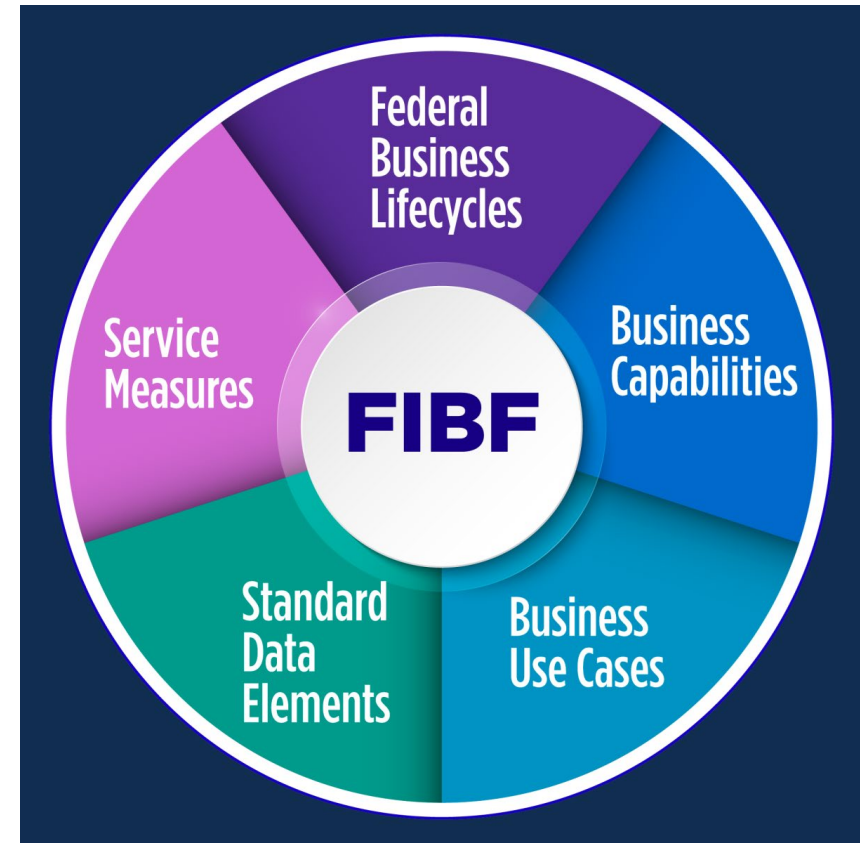
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# Updates on ERA 2.0

**David Lake**
Program Manager, ERA

**Sam McClure**
Electronic Records Program Director

- Work on Transfer Requests in ERA 2.0 underway

  ○ Preparations for Annual Move also underway

- Work on Records Schedules in ERA 2.0 has started with some agencies

  ○ We will announce when all agencies can resume work on Records Schedules as soon as possible

- Form Errors:
  - Forms migrated into ERA 2.0, but in an incorrect status
  - Forms unable to be migrated into ERA 2.0 at all
  - Updated list of errors available here – https://archives-20973928.hs-sites.com/en-us/era-2.0-forms-list

- We are working to correct form errors and migrate remaining forms in priority order as quickly as possible
  - No corrected forms loaded into ERA 2.0 yet
  - New vendor preparing to start migration corrections

- If you encounter forms with errors, please contact erahelp@nara.gov
  - Provide as many details about the form as you can  – form ID, expected statuses / actual statuses, etc.

- Intermittent issues generating PDF exports of forms
  - Fixes coming later in August

- Some agency users unable to login

- Reassignment options for Transfer Requests include many erroneous users (i.e., NARA users appearing as assignment options for agency workflows)

- Intermittent problems that affect individual forms and/or individual users that can be resolved by the ERA Help Desk
  - Forms "blocked" from use
  - Account setups needing correction

- Frequent system updates coming starting this summer to correct issues and to provide for continuous enhancement and improvement of the system

- Access to ERA 2.0 requires both an active ERA account and a MAX.gov profile

  - ERA Service Desk: erahelp@nara.gov or at 877-ERA-9594

  - MAX.gov account assistance: MAXSupport@max.gov or 202-395-6860

  - Authenticator app option

- Access via PIV/CAC

  - If you do not have access to a PIV/CAC, contact the ERA Help Desk

- Account Support – https://www.archives.gov/era/records-mgmt/account-request.html

- Training Materials – https://www.archives.gov/era/training

- User Manuals – https://www.archives.gov/era/records-mgmt/records-mgmt/era/agency-manual

  - Troubleshooting Guide now available

  - Legacy Schedule search aid coming soon

# General Q&A

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# NEXT MEETING

Tuesday

Oct 17, 2023

## 1:30 pm EST/10:30 am PST

All upcoming BRIDG meeting dates
and previous recordings/slides are at:
archives.gov/records-mgmt/meetings/index.html

# Technical Difficulties
# Please Stand by

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## Bi-Monthly Records and Information Discussion Group
archives.gov/records-mgmt/meetings/index.html