



Federal Records Management & Open Government

FOIA Advisory Committee
July 20, 2017

Laurence Brewer, CRM
Chief Records Officer for the U.S. Government
National Archives and Records Administration



- Modernizing Records Management
- Reporting and Oversight
- SAORM Engagement
- Open Government
- Policies and Guidance
- Engaging the Future

Who Are We?

- Independent Federal Agency
- 3000 Employees, 40 Locations
- \$380 Million Budget
- 1% - 3% of Federal Documents



- Office of Chief Records Officer
 - 100 Employees
 - Training
 - Oversight
 - Policy and Outreach
 - Operations
 - ∞ Appraisal, Scheduling, Assistance

NARA's Vision (or Challenge) Statement

Our Vision is to transform the American public's relationship with their government, with archives as a relevant and vital resource. This vision harnesses the opportunities to collaborate with other Federal agencies, the private sector, and the public to offer information—including records, data, and context—when, where, and how it is needed. We will lead the archival and information professions to ensure archives thrive in a digital world.

- Office of Chief Records Officer
 - More Specific, More Tech Focused
 - Records Integral to Agency Mission
 - Effective Governance of Assets
 - Manage Electronically
 - Transparent to User



Modernization Goals

1

Require electronic recordkeeping to ensure transparency, efficiency, and accountability

2

Demonstrate compliance with Federal records management statutes and regulations

Transformational Goals



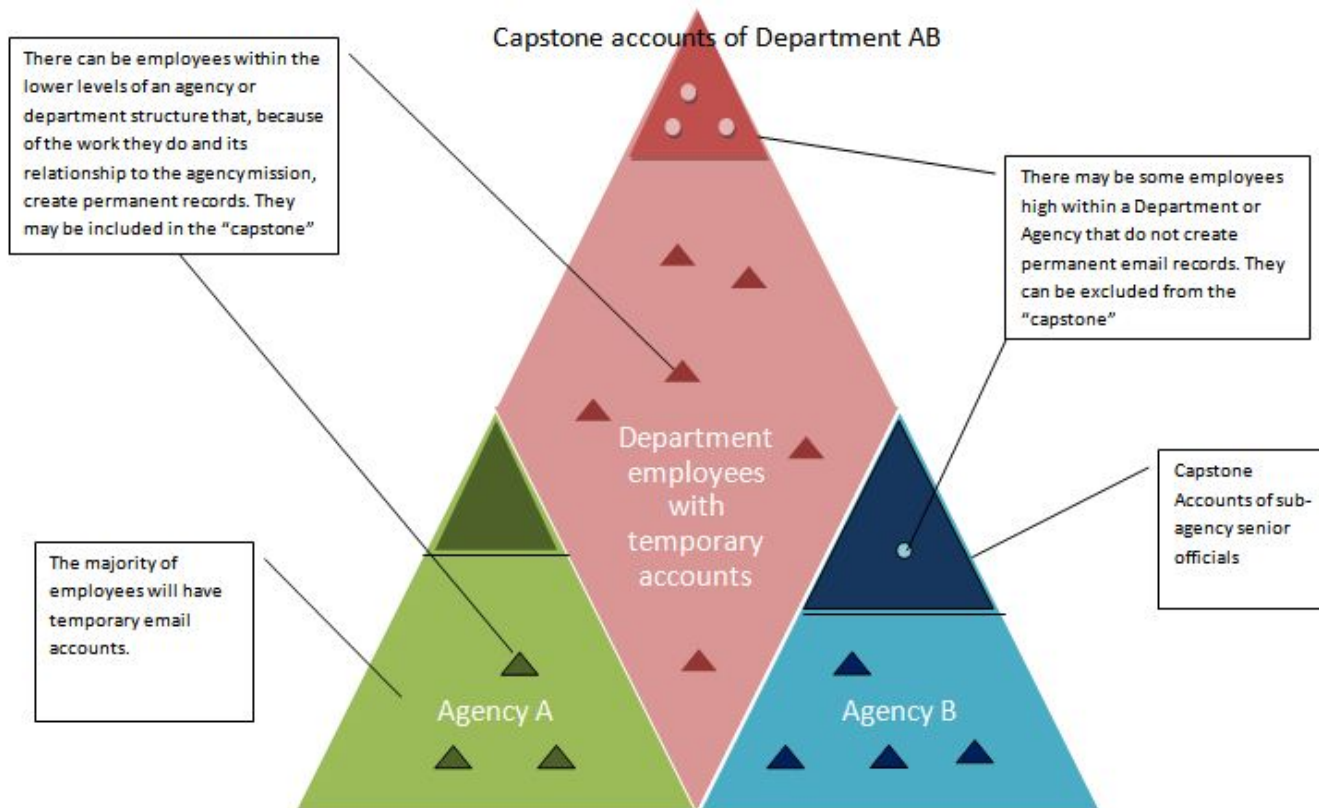
By **2016**, agencies manage all email in an accessible, electronic format



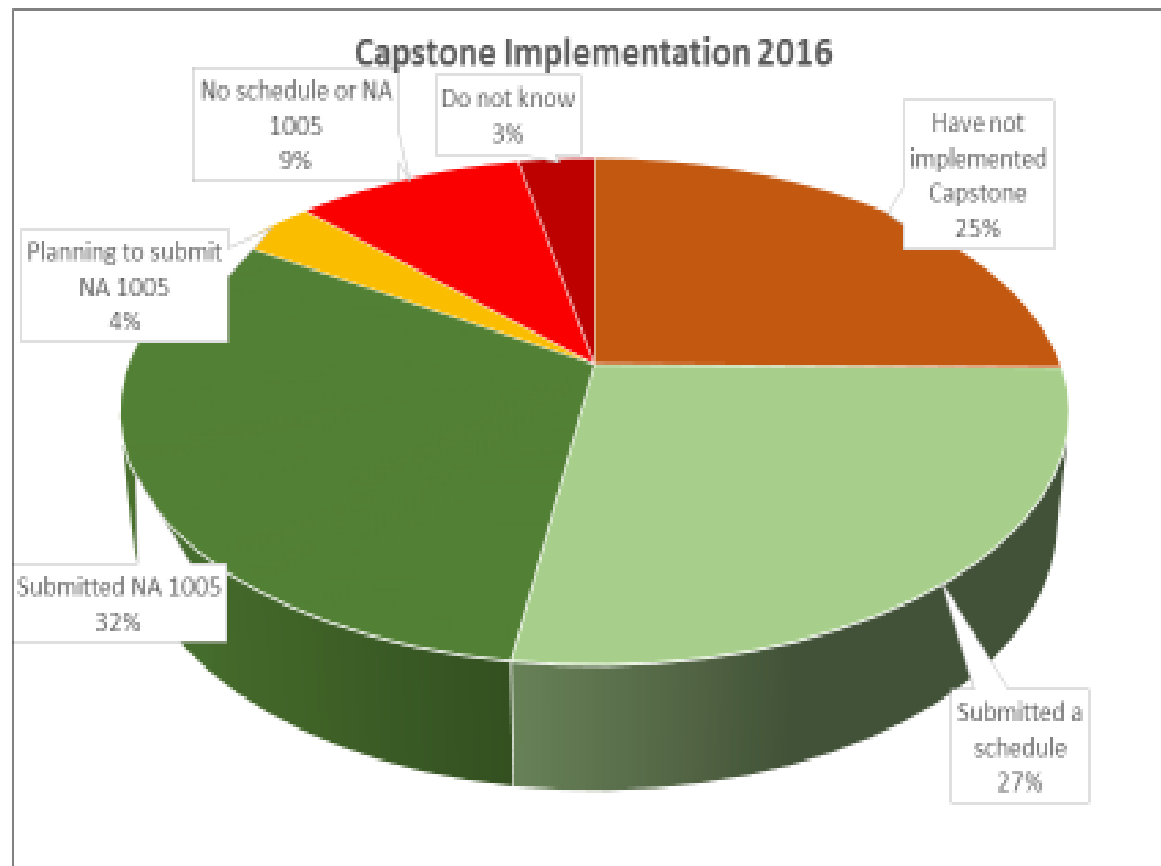
By **2019**, agencies manage all permanent electronic records in electronic formats

The Directive required NARA to take action on 18 other targets, most completed by 2016

CAPSTONE – The Interim Approach



CAPSTONE Adoption



Criteria for Managing Email Records

- Foreword from the Archivist
- Success Criteria
- Appendix A: Questions for Discussion
- Appendix B: Spreadsheet of Requirements



April 6, 2016

Memorandum for: Senior Agency Officials for Records Management

From: David S. Ferriero
Archivist of the United States

Subject: Criteria for Managing Email Records in Compliance with the
Managing Government Records Directive (M-12-18)

The Office of Management and Budget (OMB) and National Archives and Records Administration (NARA) released Memorandum M-12-18, Managing Government Records Directive, on August 24, 2012. The Directive outlines goals for agencies to meet to develop a 21st-century framework for the management of Government records. One of these goals is to manage all email records in an electronic format by December 31, 2016.

NARA is issuing this guidance to provide clarification of the existing requirements that directly relate to email management. This represents a synthesis of the statutory, regulatory, and NARA guidance requirements. Agencies should use this guidance internally to evaluate their progress in meeting the Directive goals.

Successful records management is a complex issue. I encourage you to work with your agency records officers and NARA to ensure the efficient and effective implementation of records management at your agency.

DAVID S. FERRIERO
Archivist of the United States



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Agency Reporting



258 reports received
100% response rate



257 reports received
100% response rate



100 reports received
91% response rate

RMSA - most agencies are rating themselves either in Low or Moderate Risk

Email - most agencies are rating themselves either in Low or Moderate Risk

SAORM – fewer agencies report achieving the deadline than predicted in prior reports

Summary report coming this Summer!

Using Results

NARA

- Gather information
- Identify trends
- Provide feedback



Agencies

- Determine weaknesses
- Manage limited resources
- Measure effectiveness



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Office of Management and Budget

CIRCULAR NO. A-130

TO THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

SUBJECT: Managing Information as a Strategic Resource

1. Introduction
2. Purpose
3. Applicability
4. Basic Considerations
5. Policy
 - a. Planning and Budgeting
 - b. Governance
 - c. Leadership and Workforce
 - d. IT Investment Management
 - e. Information Management and Access
 - f. Privacy and Information Security
 - g. Electronic Signatures
 - h. Records Management
 - i. Leveraging the Evolving Internet
6. Government-wide Responsibilities
7. Effectiveness
8. Oversight
9. Authority
10. Definitions
11. Inquiries

OMB A-130 July 2016

- Records Management more prominent
- Requires SAORM
- Complements NARA's regulations
- Requires electronic management of Federal emails

SAORM Engagement



- Leadership of SAORMs is critical to success
- SAORM post-transition emails and meetings
- NARA Bulletin defines roles, responsibilities, and expectations



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Open Government

Third National Action Plan Objective

Modernize records management to promote openness and accountability by better documenting the actions and decisions of the Federal government.

Commitments

1. NARA approved over 65 agencies to use the Capstone approach for managing email records.

Complete

2. Added email management questions to the Records Management Self-Assessment (RMSA), Senior Agency Official for Records Management (SAORM) report, and Federal Records Email Management report.

Complete

3. Engaged civil society by surveying the Electronic Records Management Automation Workgroup and the Society of American Archivists soliciting feedback to improve the records control schedule repository

Substantially Complete

1. NARA will continue processing additional Capstone schedules and updating the online dataset

2. Reports are posted on archives.gov to enhance collaboration and drive success

3. Improved availability of metadata, which allows users to quickly identify withdrawn or inactive schedules and more easily make minor updates

Final Status Due to the Executive Office of the President by July 14th



Open Government

National Archives 2016-2018 Open Government Plan

Modernize records management to promote openness and accountability by better documenting the actions and decisions of the Federal government.

Internal Commitments

Records Management Reporting

Oversight

Presidential Transition

Records Control Schedules

Regulatory Updates

Developed SAORM and RMSA questions that better evaluates agency programs. Reports published on Archives.gov

Complete

Conducted four inspections and issued recommendations supporting RM compliance. Published final inspection reports from Fiscal Year 2011 through Fiscal Year 2015 on Archives.gov

Complete

Provided "Documenting Your Public Service" guidance, in addition to RM handouts, checklists and a video briefing from AOTUS

Complete

Upgraded software and streamlined internal procedures for posting records schedules into the repository

Complete

Published a rule on March 9, 2016 proposing changes to seven CFR parts

Ongoing



Open Government

More in-depth information on NARA's internal commitments can be found at this link:
<https://usnationalarchives.github.io/opengovplan/recmanagement/>

Open Government Plan 2016 - 2018
National Archives and Records Administration

Home
Message from the Archivist
Executive Summary
Section 1: The Approach to Open Government
Section 2: Strengthen the Culture of Open Government
2.1 Sustaining Open Government
2.2 Public Engagement
2.3 Research Services
2.4 Presidential Libraries
2.5 Employee Engagement
Section 3: Flagship Initiatives: Make Access Happen Through Innovation
Section 4: Freedom of Information Act
Section 5: New and Ongoing Open Government Initiatives
Section 6: Provide Leadership and Services
6.1 Records Management: The Backbone of Open Government

Section 6: Provide Leadership and Services

6.1 Records Management: The Backbone of Open Government

([Archives.gov/records-mgmt/](https://www.archives.gov/records-mgmt/))

NARA works in conjunction with agencies to determine which federal records may be disposed of and which must be permanently preserved for access by future generations. It is one of the most important responsibilities of the Archivist of the United States and it lends profound meaning to the mantra, "Good records management is the backbone of open government." It makes possible transparency and accountability, which is necessary for success in the overall Open Government Initiative.

The absence of good records management is apparent from the growing number of incidents involving the loss, removal, or unauthorized destruction of federal records. Government agencies must observe the evolving electronic landscape and take positive steps to be accountable for the management of the federal records that they create. While records management in a paper context is based on filing, storage, and scheduled destruction, the digital environment introduces new concerns for preserving and retrieving electronic records. NARA continues to research best practices, develop policy, provide training, and bolster oversight and inspection activities monitoring compliance. As stated in the last Open Government Plan, the long-term success of the Open Government Initiative—and the future of the National Archives—hinges on the ability of each federal agency to manage its records in accordance with the applicable laws, regulations, and standards. NARA's records management approach remains grounded in these three principles:

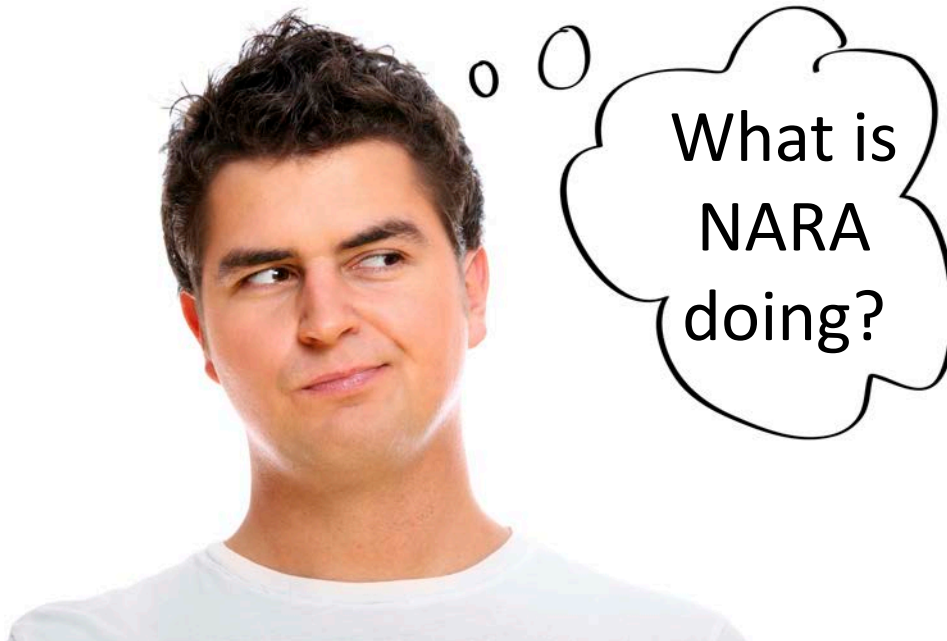
- Federal agencies must economically and effectively create and manage records necessary to meet business needs.
- Federal records must be retained long enough to protect all public rights and assure accountability of all officials for decisions made.
- Federal records of archival value, including metadata, must be preserved and made available for future generations.

The Open Government Initiative and these principles further assist NARA in focusing the federal government's attention on effectively identifying and addressing the challenges of the electronic records and information management continuum. NARA uses the open government platform to provide guidance to federal agencies in framing and instituting needed governance, oversight, policy, training, and technological platforms to support business needs and make records and information readily available to the public.

Office of the Chief Records Officer
NARA's Chief Records Officer (CRO) for the United States Government leads records management throughout the federal government, emphasizing the concerns related to electronic information and assessing the effectiveness of federal records management policies and programs. The CRO is responsible for:

- issuing federal records management policy and guidance;
- serving as liaison with the Office of Management and Budget, Congress, the Chief Information Officer (CIO) Council, and other external stakeholders on

Updates to follow on NARA's internal activities for National Action Plan Four



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Keeping Up with the Speed of Change



Challenges with Electronic Messaging

- **The Good, The Bad, and The Ugly**
- **Are they records?**
- **CAPSTONE Approach?**



Big Data – How Will It Affect NARA?





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Welcome to the Future

- 2019 Success Criteria
- ERM Requirements and Use Cases
- Web Guidance Refresh
- Greater Efficiency and Effectiveness
- Advocacy and Outreach





More Information

Laurence Brewer, CRM

Laurence.Brewer@nara.gov

Records Express blog:

<http://blogs.archives.gov/records-express/>

NARA Records Management webpage:

<http://www.archives.gov/records-mgmt/>