Bi-Monthly Records and Information Discussion Group

To Ask Questions
Chat via YouTube

or

Email:
rm.communications@nara.gov

August 15, 2023
Welcome
Laurence Brewer
Chief Records Officer for the U.S. Government
BRIDG Agenda

- 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
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 9\textsuperscript{th} through March 10\textsuperscript{th} 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)
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.

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.

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.
COVID-19 Adaptations

- Shifted to Telework/Remote work/Hybrid work environment
- Processes were already electronic prior to the pandemic
- Business processes were updated to an electronic environment
- Use of collaboration tools, aids, and platforms

Adaptations due to COVID-19 Pandemic
M–19–21 and M–23–07 Target Goals

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

- Yes: 96%Permanent records in E-formats, 93%Temporary records in E-formats, 65%Storage of hard copy
- No: 4%Permanent records in E-formats, 7%Temporary records in E-formats, 13%Storage of hard copy
- Do not know: 0%
- Not applicable: 20%
Risk Results 2022

Federal Agency Annual Reporting 2022 Risk Levels

- RMSA: 41% Low Risk, 45% Moderate Risk, 14% High Risk
- Part I: Electronic Records: 65% Low Risk, 21% Moderate Risk, 14% High Risk
- Part II: Email: 80% Low Risk, 6% Moderate Risk, 14% High Risk
Cognitive technology use or exploration
Senior Agency Official for Records Management Reports 2022

- Yes: 37%
- No: 60%
- Do not know: 1%
Something Else to Watch

Records Management Obligations Integrated into Contract Language

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

Yes  No  Do not know
Transition Efforts to Watch

Digitization Strategies
RMSA 2022

- Digitizing temporary records that will become recordkeeping copy: 36% working on it, 64% yes or to some extent
- Strategy includes reformatting hard copy and analog formats: 21% working on it, 78% yes or to some extent
- Identifying permanent series needing digitizing: 15% working on it, 74% yes or to some extent
Replacing Original Source Records

Digitized Version Suitable Quality to Replace Original Source Records

- **Yes**: 142 (86%)
- **No**: 14 (8%)
- **Do not know**: 10 (6%)
Email Capture and Maintenance
Rise of Cloud Storage vs Decline of Print and File
RMSA 2022
And we are here!

2023 preparations
July-December 2023

2024 data gathering,
analysis and validation
(Jan-April)

2024 final report
dissemination
July-August

2024 report
drafting and
reviews
(May-June)

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Daniel Levenson & Kimberlee Ried
Office of Government Information Services Update
Records Management Self-Assessment Reporting
Piggyback on Records Management Self-Assessment (RMSA)

Six FOIA questions:

- COVID-19
- Agency Records Officer & Chief FOIA Officer relationship
- e-discovery
- Proactive disclosure

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.
e-discovery:

- 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.
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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:
  - New tabs for Digitization of Perm & Temp Records
  - Consolidated Records Types
  - Removed Transfer Format tab
  - Updated abstract and glossary
• Updating GSA procurement schedules:
  ○ Electronic Records Management Solutions (518210ERM)
  ○ Document Conversion Services (518210DC)

• Questions:
  recordsmanagement@gsa.gov
Next Steps

Updating Federal Integrated Business Framework (FIBF):

- Federal Business Lifecycles
- Business Capabilities
- Business Use Cases
- Standard Data Elements
- Service Measures
Questions?

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Updates on ERA 2.0

David Lake
Program Manager, ERA

Sam McClure
Electronic Records Program Director
Use of ERA 2.0 - Status

- 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
Correcting Data Migration Errors – Status

- Form Errors:
  - Forms migrated into ERA 2.0, but in an incorrect status
  - Forms unable to be migrated into ERA 2.0 at all

- 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](mailto:erahelp@nara.gov)
  - Provide as many details about the form as you can – form ID, expected statuses / actual statuses, etc.
Known Issues in ERA 2.0

- 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
Accessing ERA 2.0

- 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
Support for Use of ERA 2.0


- Training Materials – [https://www.archives.gov/era/training](https://www.archives.gov/era/training)

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