Federal Records Management & Open Government

FOIA Advisory Committee
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National Archives and Records Administration
What is NARA doing?

• 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

There can be employees within the lower levels of an agency or department structure that, because of the work they do and its relationship to the agency mission, create permanent records. They may be included in the “capstone.”

There may be some employees high within a Department or Agency that do not create permanent email records. They can be excluded from the “capstone.”

The majority of employees will have temporary email accounts.

Capstone Accounts of sub-agency senior officials.

Capstone accounts of Department AB

Department employees with temporary accounts

Agency A

Agency B
CAPSTONE Adoption

Capstone Implementation 2016

- Submitted NA 1005: 32%
- Submitted a schedule: 27%
- Planning to submit NA 1005: 4%
- Have not implemented Capstone: 25%
- Do not know: 3%
- No schedule or NA 1005: 9%
Criteria for Managing Email Records

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

258 reports received
100% response rate

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

257 reports received
100% response rate

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

100 reports received
91% response rate

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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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**

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

1. NARA will continue processing additional Capstone schedules and updating the online dataset. **Complete**
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.
Modernize records management to promote openness and accountability by better documenting the actions and decisions of the Federal government.

- **Records Management Reporting**
  - Developed SAORM and RMSA questions that better evaluates agency programs. Reports published on Archives.gov
  - Complete

- **Oversight**
  - 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

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

- **Records Control Schedules**
  - Upgraded software and streamlined internal procedures for posting records schedules into the repository
  - Complete

- **Regulatory Updates**
  - 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/

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

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Records Express blog: http://blogs.archives.gov/records-express/

NARA Records Management webpage: http://www.archives.gov/records-mgmt/