

# **NARA's Agency Services Bimonthly Records and Information Discussion Group (BRIDG)**

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**TUESDAY, DECEMBER 6, 2011**

## **Meeting agenda**

- Presentation on e-FRC (David Miller)
- Records Management Services Overview (Margaret Hawkins)
- ERA Agency Adoption (Mike Carlson)
- President's Records Management Memorandum (Louise Guenther)

# Electronic Federal Records (eFRC)

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**PRESENTER:  
DAVID MILLER**

# Electronic records services

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- Document conversion
- Media storage
- Media degaussing, destruction
- SmartScan
- RM consulting

# Digital challenges

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- Legacy system performance
- Litigation hold
- Transitioning between contracts
- Decommissioning systems
- Secure access, disposition
- Record integrity

# eFRC development

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- **With TRICARE Management Activity and Dept. of Commerce**
- **Temporary Records Information Portal (TRIP) proof-of-concept: 2009**
- **TRIP II with expanded functionality: 2011**

# eFRC initial capabilities

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- **Receive electronic records (on media)**
  - With appropriate metadata
- **Validate content and metadata**
- **Store records**
  - Media @ Ft. Worth vault
  - Digital assets @ Dept. of Commerce data center
  - 50 TB capacity

# eFRC initial capabilities

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- **Manage records**
  - DoD 5015.2-compliant system
- **Web-based access to records**
  - NARA-assisted search if desired
- **Implement freezes**
- **Carry out disposition**
  - secure deletion of temporary records
  - transfer permanent records to ERA

# Accepted formats

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- **Microsoft Office application formats**
- **Images: TIFF, GIF, JPG, JPEG**
- **PDF**
- **XML**
- **ASCII text with delimiters**



# Testing assumptions

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- **Growth**
- **Performance**
- **Workflows**
- **Security**
- **User access**

# eFRC evolution

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- **Storage capacity: 1 PB**
- **Additional functionality**
  - Electronic ingest
  - Improved data validation
  - Portability
- **DoD 5015.2 perpetual certification**

# Want to learn more?

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- **David S. Miller, Project Manager**
- **David.Miller@nara.gov**
- **301-837-2010**
- **or your Account Manager**

# Records Management Services (RMS)

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**PRESENTER:  
MARGARET HAWKINS**

**REVIEW OF ORGANIZATIONAL  
STRUCTURE**

**NEW SUPERVISORS**

# Office of the Chief Records Officer

## Office of the Chief Records Officer (AC)

Paul M. Wester, Jr.

Chief Records Officer for the U.S. Government

### National Records Management Program (ACN)

Laurence Brewer, Director

#### Records Management Training Section (ACNT)

Bill Bridges, Director

#### Permanent Records Capture Section (ACNC)

Matthew Eidson, Supervisor

#### Records Management Services (ACNR)

Margaret Hawkins, Director

**Systems Integration, Design, Support, and Adoption**  
Cathy Westfeldt, Supervisor

**General Records Schedule Team (GRS)**  
Andrea Loissette, Supervisor

**Agency Assistance Team (AA)**  
Bill Greathouse, Supervisor

**Records Appraisal Teams**  
Kate Flaherty  
Sam Welch  
Lisa Roberson  
Steve Cooper

### Policy Analysis and Enforcement (ACP)

Don Rosen, Director

#### Electronic Records Format Section (ACPE)

Kevin De Vorse, Supervisor

#### Records Management Policy Section (ACPP)

Mark Giguere, Supervisor

#### Records Management Oversight Section (ACPO)

Cindy Smolovik, Supervisor

# ERA Agency Adoption

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**PRESENTER: MICHAEL CARLSON**

**NATIONAL ARCHIVES AND RECORDS  
ADMINISTRATION**

**BRIDG MEETING DECEMBER 7, 2011**

# Rollout Overview

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- **Two phases**
- **100% of 30 CIO Council Departments/Agencies**
  - Between March 2011 and November 2011
  - To date: 17 active users; 11 trained users; 2 no use
- **100% of all the rest**
  - Between July 2011 and September 2012
  - To date: 10% have trained users and some active use
- **ERA is the preferred method of doing business with NARA and mandatory after September 2012**

# Rollout Overview

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- OMB has asked us to report monthly on the level of use of ERA
- Successful deployment of ERA means:
  - The agency should begin using ERA some time during the start month.
  - Amount of work at the discretion of the agency.
  - Once started, continue using ERA for scheduling and/or transferring records to NARA



# ERA Adoption Plan – Rest of the way

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- **Rest of Government stagger-scheduled through September 2012**
  - Approximately 160 agencies signed up for start times ranging from July 2011 to September 2012
  - Rollout meeting via Genesys
  - Follow up with two-hour training session

# User Feedback Activities

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- **Survey ERA Users**
  - ERA User Experience Survey, September 15 until September 30, 2011, all of the active users of ERA. The online survey solicited feedback in the major areas of ERA
  - Overall level of satisfaction with ERA? A total of 44% of the survey respondents were satisfied; 44% neutral about their ERA experience; 12% unsatisfied with ERA.

# Annual Move Using ERA

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- Agencies scheduled to adopt ERA through August and that have P2012 transfers will use ERA
  - Lists of accessions sent on September 16
  - Guidance sent on October 3
  - Training webinars on October 19 and 27

# Annual Move Using ERA

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- Loaded over 3,500 Transfer Requests into ERA
- Due date for completion: **December 31, 2011**

*Managing  
Government Records:  
Developing a 21<sup>st</sup>-Century Framework*

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**PRESENTER: SCOTT ROLEY**

**NARA AGENCY SERVICES  
BIMONTHLY RECORDS AND  
INFORMATION DISCUSSION GROUP  
(BRIDG) MEETING**

**DECEMBER 7, 2011**

# Overview

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- **Summary of requirements set out in the Presidential Memo**
- **Agency responsibilities and contributions**
- **NARA responsibilities and contributions in providing direction for Agency responses**
- **NARA timeline and additional information**

# Summary of Requirements

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- **The Presidential Memorandum (PM), issued on 11/28/2011, requires:**
  - Agency commitments to Records Management Reform (Section 2 of PM)
  - Development and issuance of a Records Management Directive (Section 3 of PM)

# Agency Commitments to Records Management Reform (Section 2 of PM)

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- **2(a)** The head of each agency shall:
  - **(i)** ensure that the successful implementation of records management requirements in law, regulation, and this memorandum is a priority for senior agency management;
  - **(ii)** ensure that proper resources are allocated to the effective implementation of such requirements;
  - **(iii)** within 30 days of the date of this memorandum, designate in writing to the Archivist of the United States (Archivist), a senior agency official to supervise the review required by subsection (b) of this section, in coordination with the agency's Records Officer, Chief Information Officer, and General Counsel.



# Agency Commitments to Records Management Reform (Section 2 of PM)

- **2(b)** Within 120 days of the date of this memorandum, each agency head shall submit a report to the Archivist and the Director of the Office of Management and Budget (OMB) that:
  - **(i)** describes the agency's current plans for improving or maintaining its records management program, particularly with respect to managing electronic records, including email and social media, deploying cloud-based services or storage solutions, and meeting other records challenges;
  - **(ii)** identifies any provisions in relevant statutes, regulations, or official NARA guidance that currently pose an obstacle to the agency's adoption of sound, cost-effective records management policies and practices; and
  - **(iii)** identifies policies or programs that, if included in the Records Management Directive required by section 3 of this memorandum or adopted or implemented by NARA, would assist the agency's efforts to improve records management.

# Agency Requirements and Due Dates (Section 2 of PM)

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## Response 1: Senior Official

- Agency names a senior agency official who supervises the review.
- The following must be sent to [RM.Communications@nara.gov](mailto:RM.Communications@nara.gov) by **December 28, 2011**:
  - Agency represented
  - Name and position title of senior official
  - Office address, e-mail address, and telephone number

# Agency Requirements and Due Dates (Section 2 of PM)

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## **Response 2: Agency Reports**

These must be sent to

[RM.Communications@nara.gov](mailto:RM.Communications@nara.gov) by **March 27,  
2012.**

Reports will address the questions from  
Section 2(b), in the following format:

# Agency Requirements and Due Dates (Section 2 of PM)

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- **2(b)(i) List your agency's current plans...**
- Please list your agency's current plans for improving the records management program, paying particular attention to electronic records. For each of the plans on your list, indicate which of the following priorities is addressed:

# Agency Requirements and Due Dates (Section 2 of PM)

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- (i) creating a Government-wide records management framework that is more efficient and cost-effective;
- (ii) promoting records management policies and practices that enhance the capability of agencies to fulfill their statutory missions;
- (iii) maintaining accountability through documentation of agency actions;
- (iv) increasing open government and appropriate public access to Government records;
- (v) supporting agency compliance with applicable legal requirements related to the preservation of information relevant to litigation; and
- (vi) transitioning from paper-based records management to electronic records management where feasible.

# Agency Requirements and Due Dates (Section 2 of PM)

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- **2(b)(i) List your agency's current plans... (cont'd)**
- Identify the top priority of your records management program, and describe why it is your agency's top priority.

# Agency Requirements and Due Dates (Section 2 of PM)

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- **2(b)(ii) Identify current obstacles...**
- Discuss two or three experiences you have had at your agency where a specific aspect of NARA's records management statutes, regulations or guidance created a substantial difficulty for implementing a sound, cost-effective records management program within your resource constraints. Describe the difficulty in as much detail as a 200-word limit (each) will allow. Please identify the statute/regulation/guidance as clearly as possible.

# Agency Requirements and Due Dates (Section 2 of PM)

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- **2(b)(iii) Identify policies or programs that, if included...**
- Propose an improvement for each of the issues you referred to in section 2(b)(ii) which, in your opinion, would resolve that specific problem at your agency without compromising the requirements for a robust and sustainable records management structure in the Federal government as a whole.



# Agency Requirements and Due Dates (Section 2 of PM)

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- **2(b)(iii) Identify policies or programs that, if included...**
- If you have a “wish list” of new policies or programs that would enhance your ability to improve records management at your agency if included in the follow-on Records Management Directive, please describe and justify each suggestion in 200 words or less.

# Records Management Directive (Section 3 of PM)

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- **3(a)** Within 120 days of the deadline for reports submitted pursuant to section 2(b) of this memorandum, the Director of OMB and the Archivist, in coordination with the Associate Attorney General, shall issue a Records Management Directive that directs agency heads to take specific steps to reform and improve records management policies and practices within their agency.

# Records Management Directive (Section 3 of PM)

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- **3(a) (cont'd)** The directive shall focus on:
  - (i) creating a Government-wide records management framework that is more efficient and cost-effective;
  - (ii) promoting records management policies and practices that enhance the capability of agencies to fulfill their statutory missions;
  - (iii) maintaining accountability through documentation of agency actions;
  - (iv) increasing open government and appropriate public access to Government records;
  - (v) supporting agency compliance with applicable legal requirements related to the preservation of information relevant to litigation; and
  - (vi) transitioning from paper-based records management to electronic records management where feasible.

# Records Management Directive (Section 3 of PM)

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- **3(b)** In the course of developing the directive, the Archivist, in coordination with the Director of OMB and the Associate Attorney General, shall review relevant statutes, regulations, and official NARA guidance to identify opportunities for reforms that would facilitate improved Government-wide records management practices, particularly with respect to electronic records.

# Records Management Directive (Section 3 of PM)

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- **3(b) (cont'd)** The Archivist, in coordination with the Director of OMB and the Associate Attorney General, shall present to the President the results of this review, no later than the date of the directive's issuance, to facilitate potential updates to the laws, regulations, and policies governing the management of Federal records.

# Records Management Directive (Section 3 of PM)

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- **3(c)** In developing the directive, the Director of OMB and the Archivist, in coordination with the Associate Attorney General shall consult with other affected agencies, interagency groups, and public stakeholders.

# How will NARA meet the requirements of Section 3?

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- Review past Records Management Self-Assessment (RMSA) submissions
- Conduct agency jam session (February 2012)
- Review required agency reports (April 2012)
- Meet with public interest/interagency groups (April 2012)
- Review all data and report statutory/regulatory provisions to identify opportunities for reforms
- Develop Directive in coordination with OMB and Assoc. Attorney General (May-June 2012)
- Issue the Records Management Directive (July 2012)

# Questions?

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- **Contact:**

- Records Express Blog, <http://blogs.archives.gov/records-express/?cat=65>
- NARA RM Mailbox, [RM.Communications@nara.gov](mailto:RM.Communications@nara.gov)
- Your appraisal archivist
- Scott Roley, [scott.roley@nara.gov](mailto:scott.roley@nara.gov)

**“Good records management is  
the backbone of open government”**

***Thank you!***