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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Bi-Monthly Records and Information Discussion Group

To Ask Questions

Chat via YouTube

or

Email:

rm.communications@nara.gov



August 15, 2023



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Welcome

Laurence Brewer

Chief Records Officer for the U.S. Government



- 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



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RM Annual Reporting Update

Cindy Smolovik

Supervisory Archives Specialist
Records Management Oversight and
Reporting



Federal Agency Records Management Reporting 2022

- 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



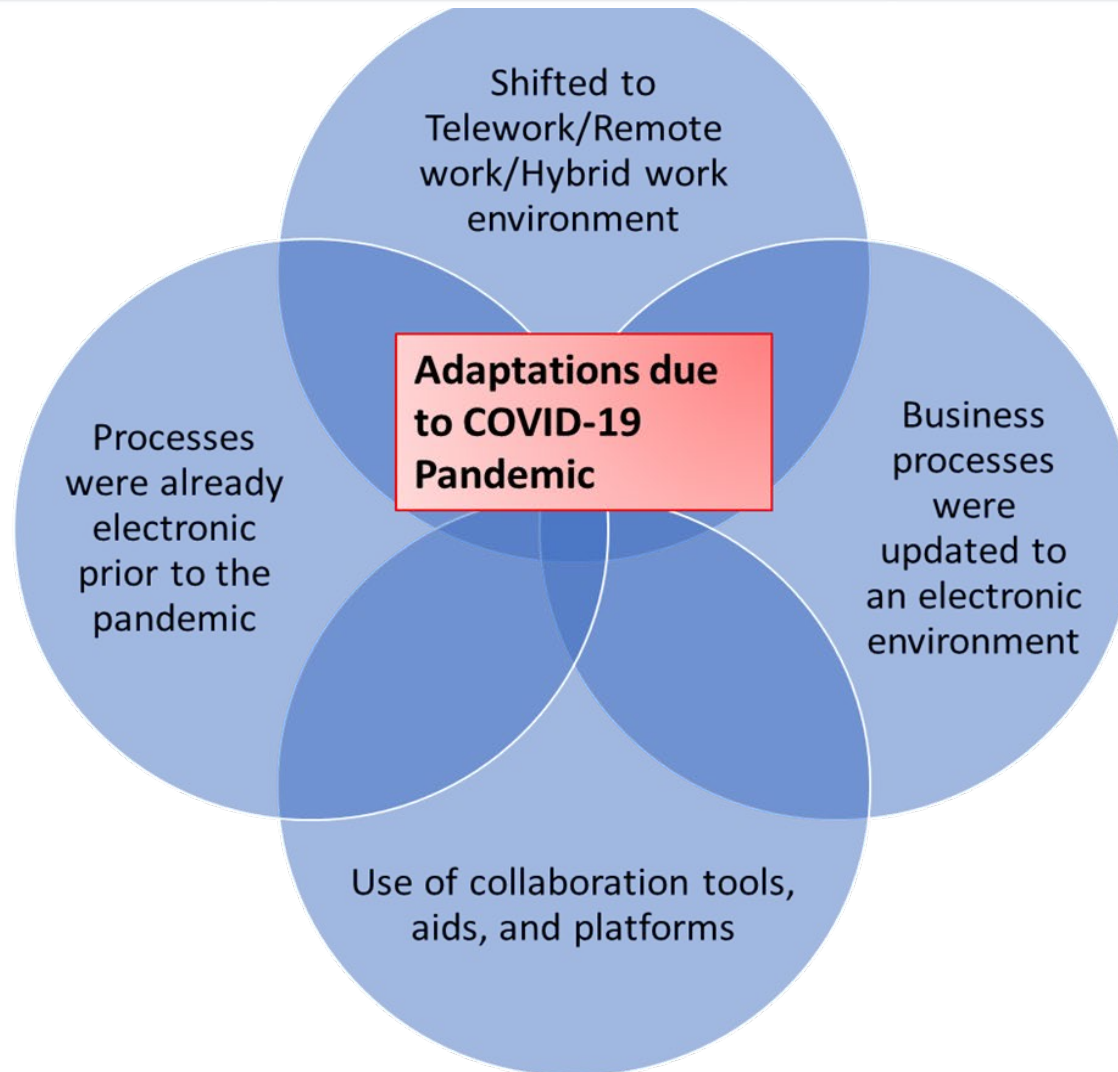
ERM & EMAIL
Maturity Model

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



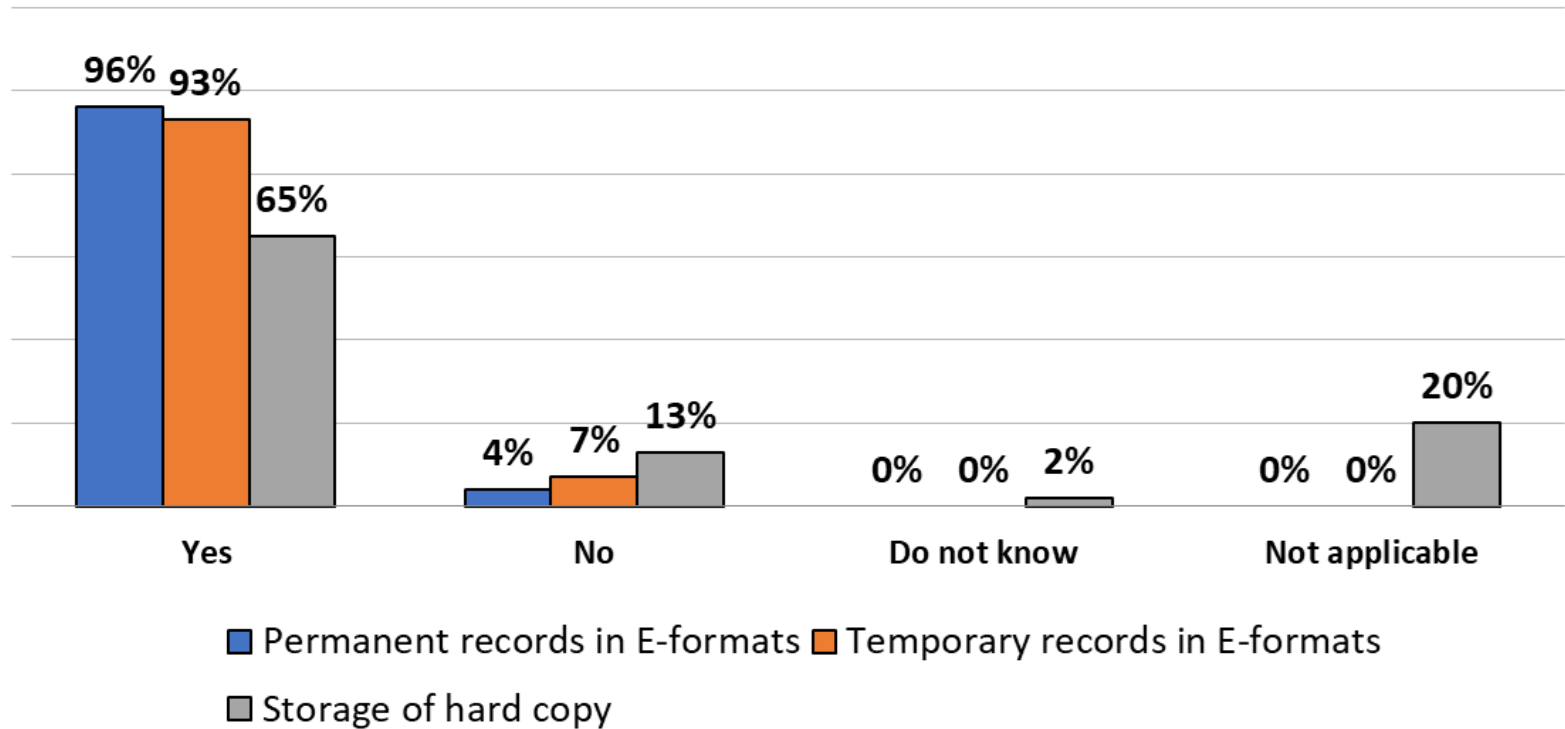
RMSA

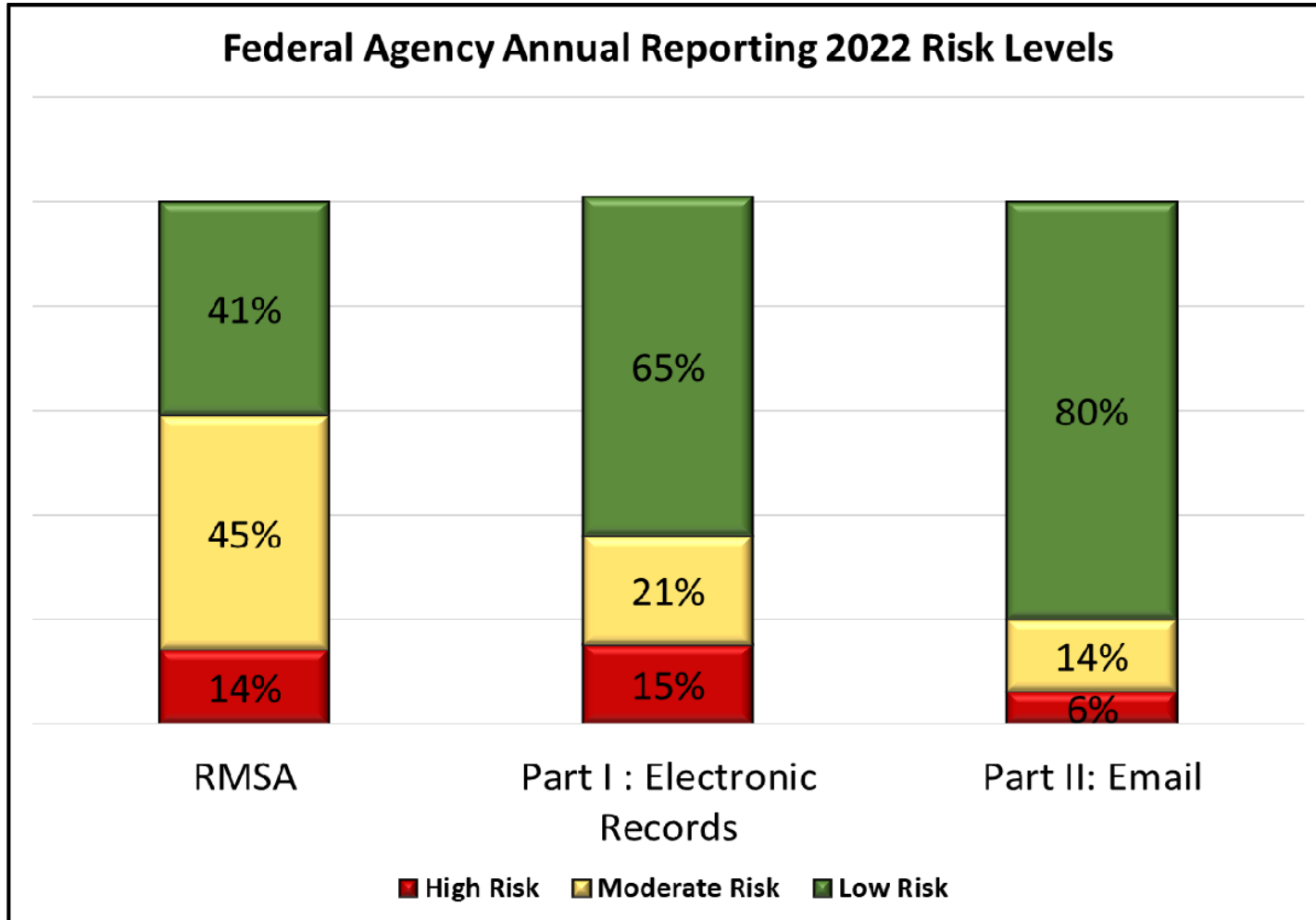
Measures compliance with federal records management statutes and regulations
Compliance with this framework ensures agencies can document decisions and activities for their business and mission functions

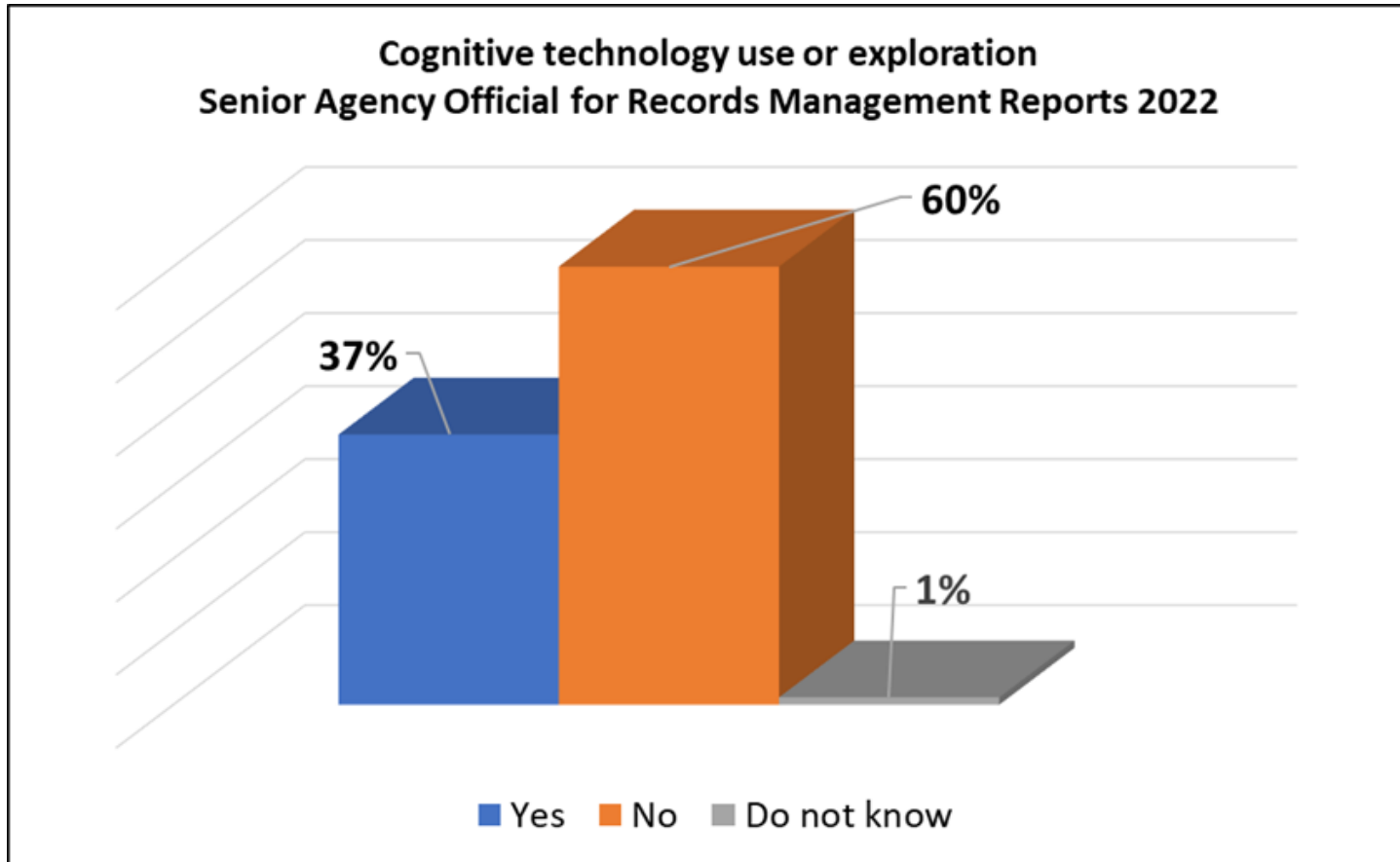


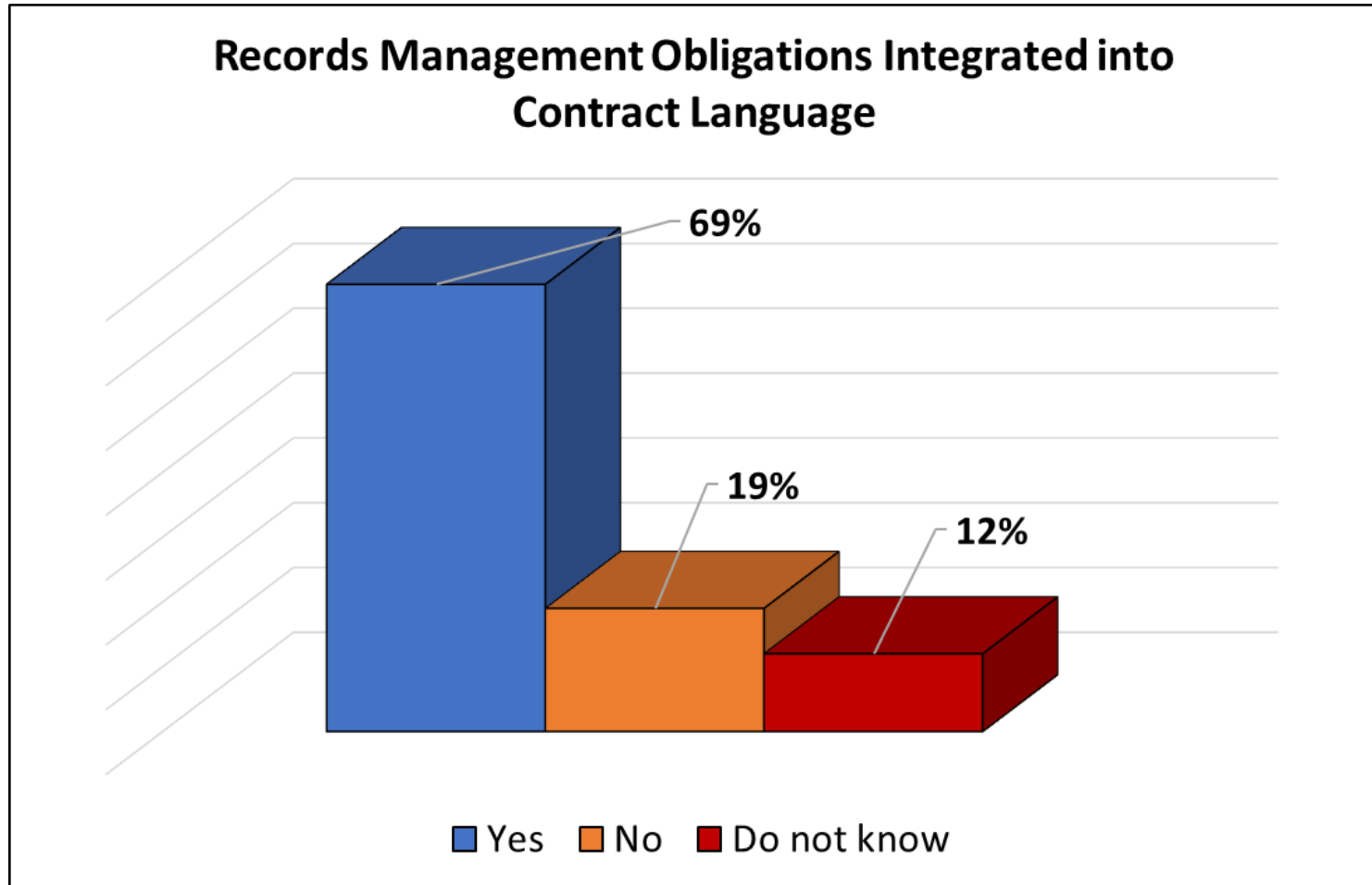
M-19-21 and M-23-07 Target Goals

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

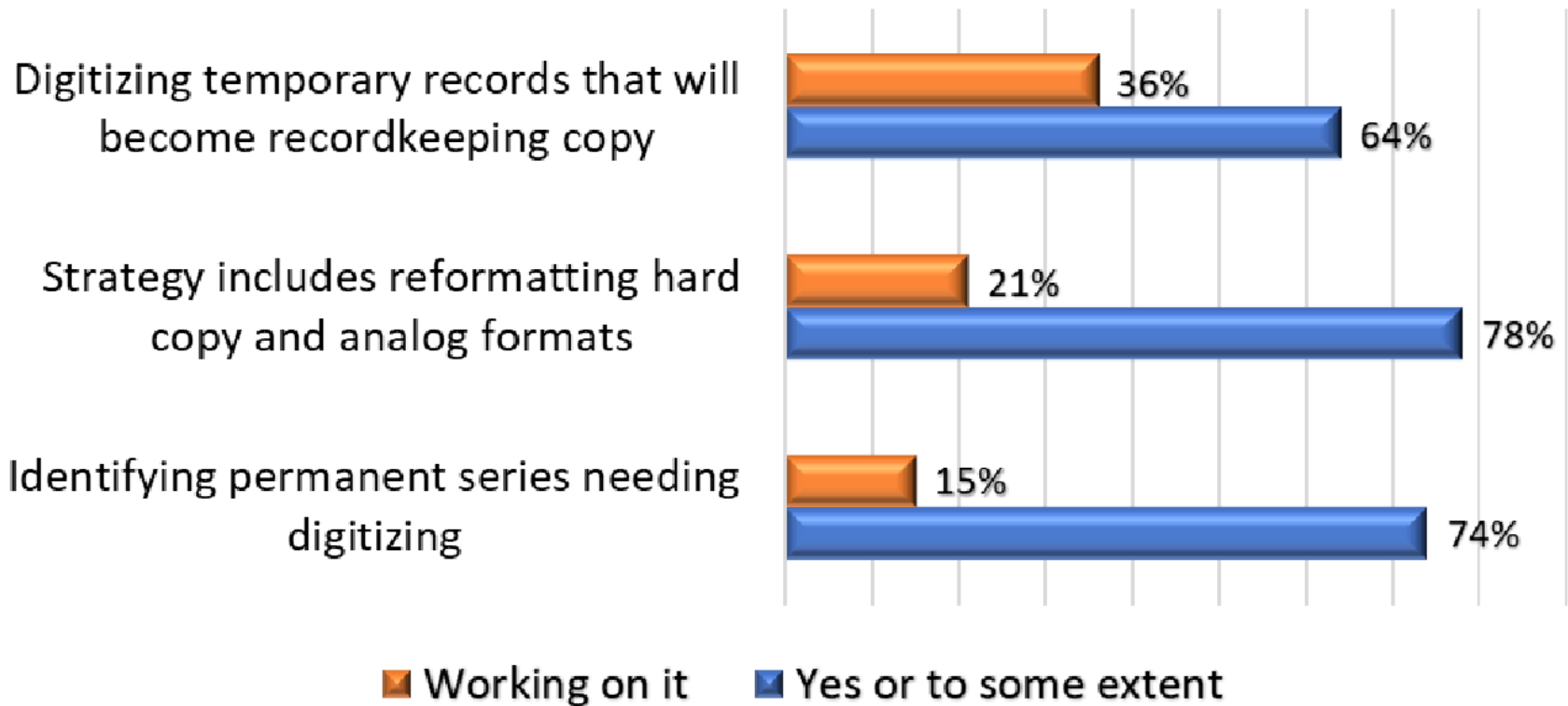






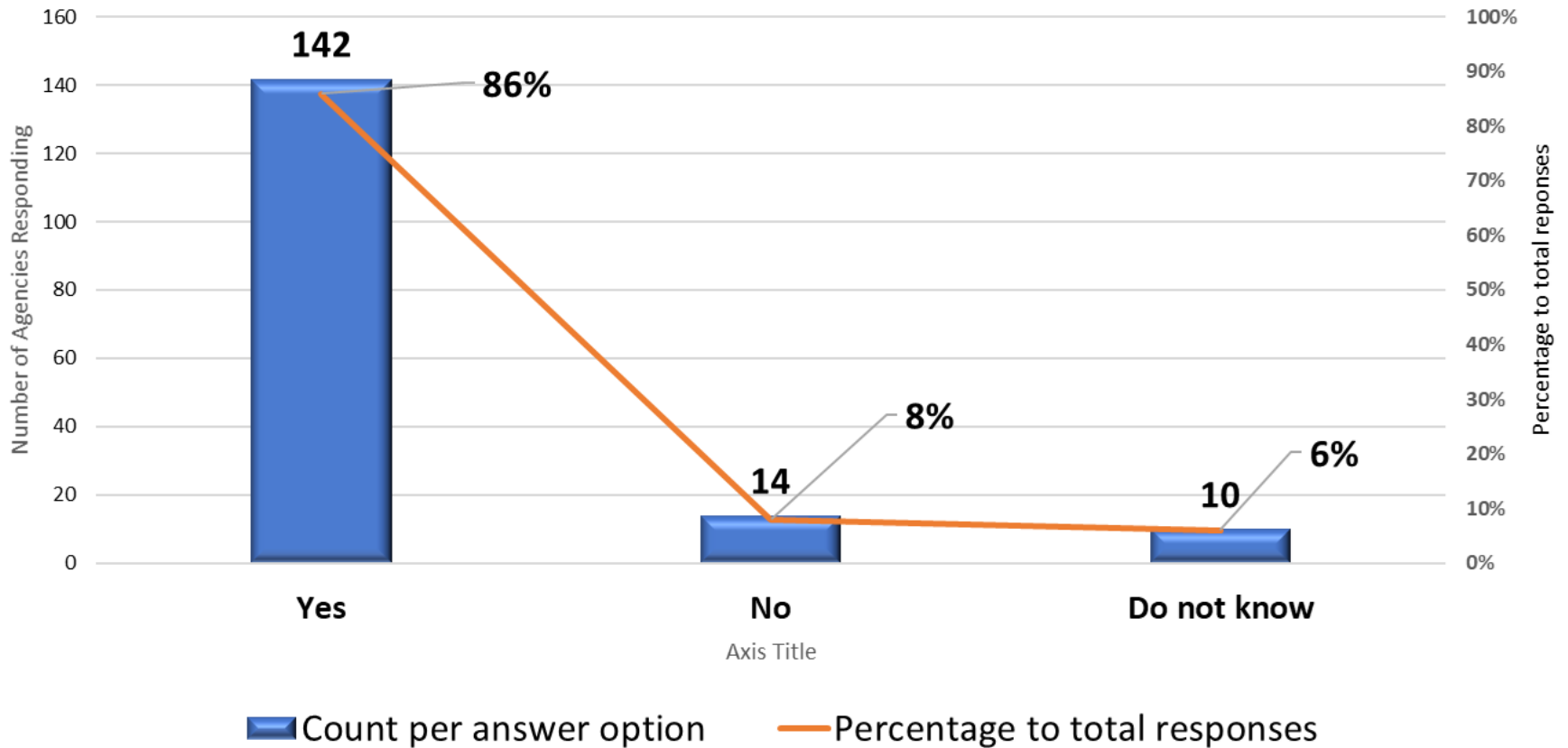


Digitization Strategies RMSA 2022

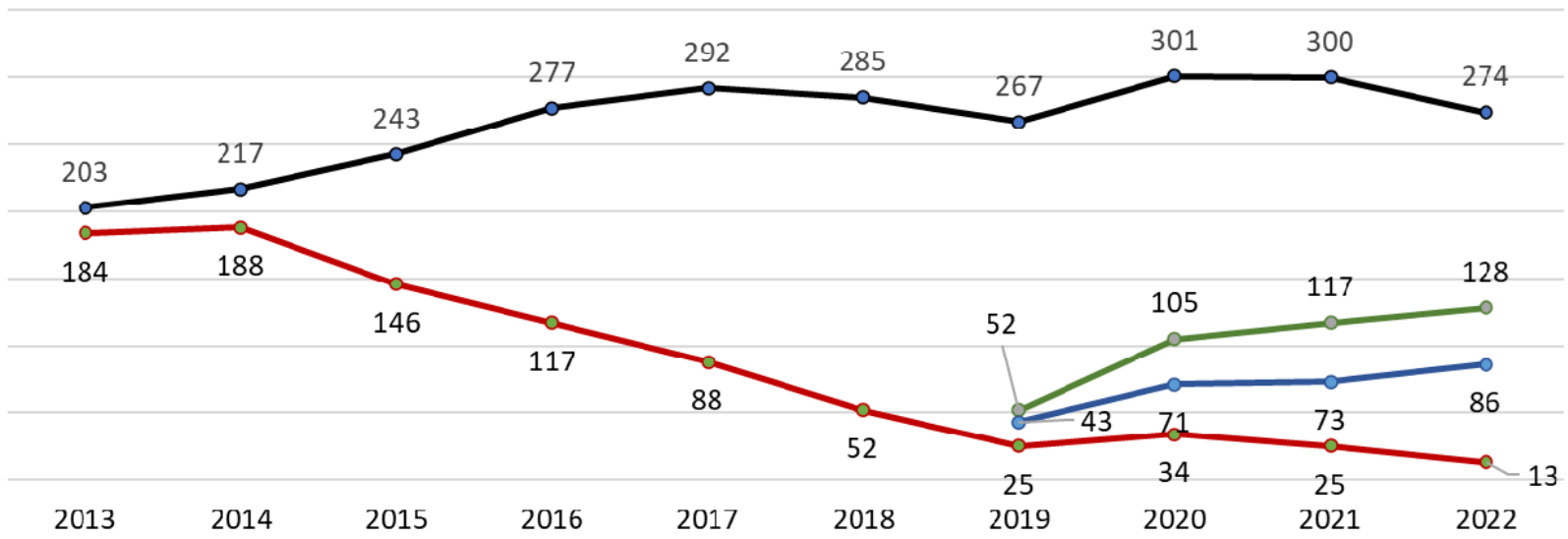


Replacing Original Source Records

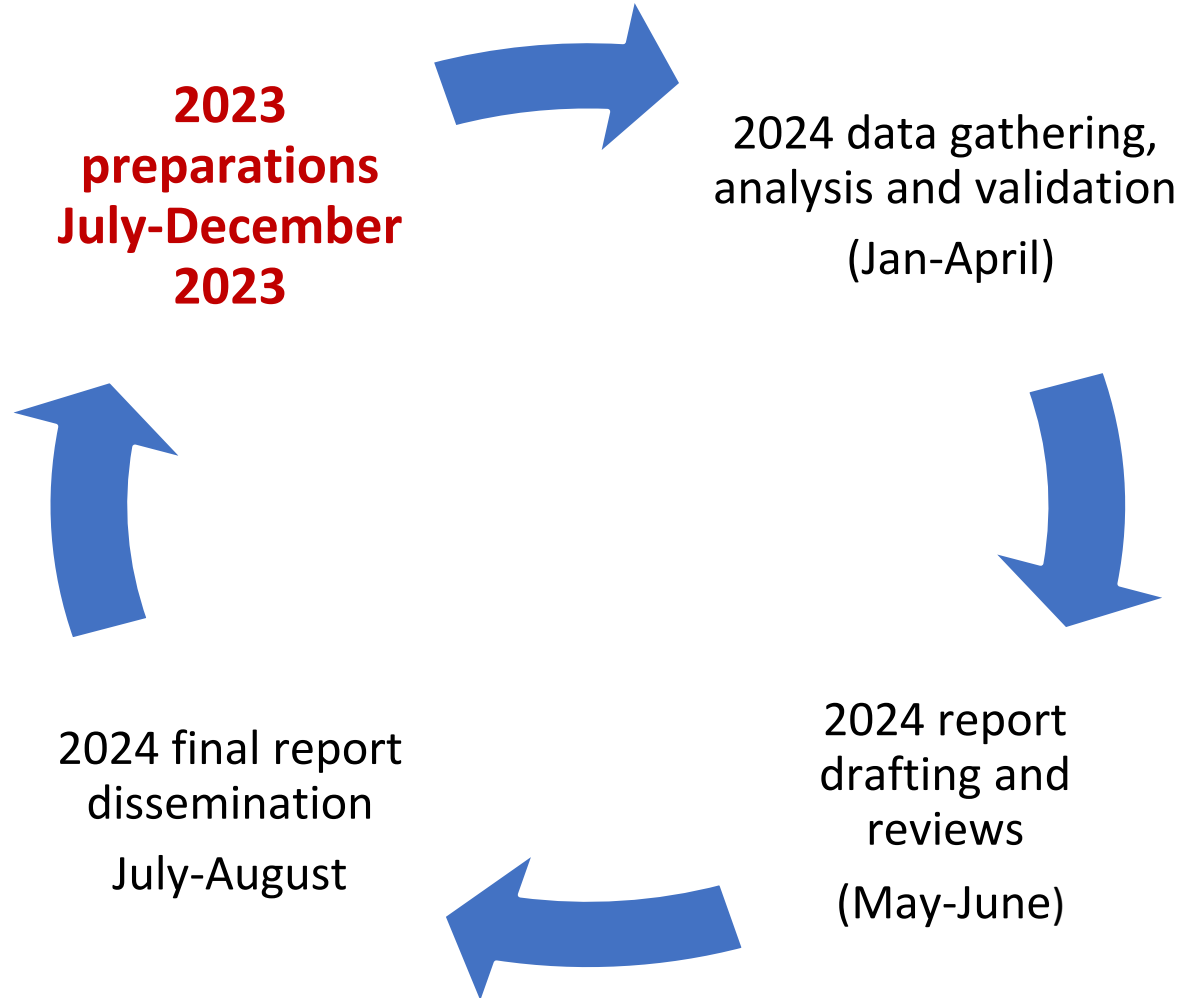
Digitized Version Suitable Quality to Replace Original Source Records



**Email Capture and Maintenance
Rise of Cloud Storage vs Decline of Print and File
RMSA 2022**



- Captured and stored in an electronic records management system or email archiving system
- Captured and stored using cloud services with records management included
- Captured and stored using cloud services but records management IS NOT included
- Print and file





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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

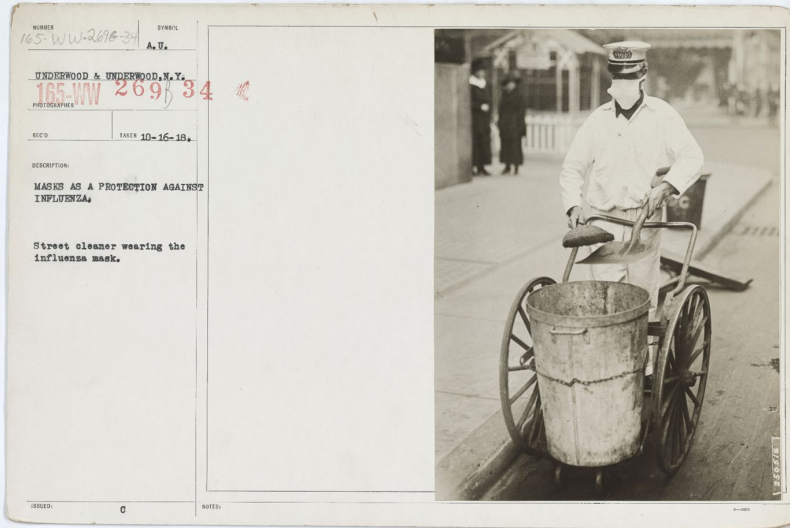


NARA Identifier 12065

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

COVID-19 pandemic:

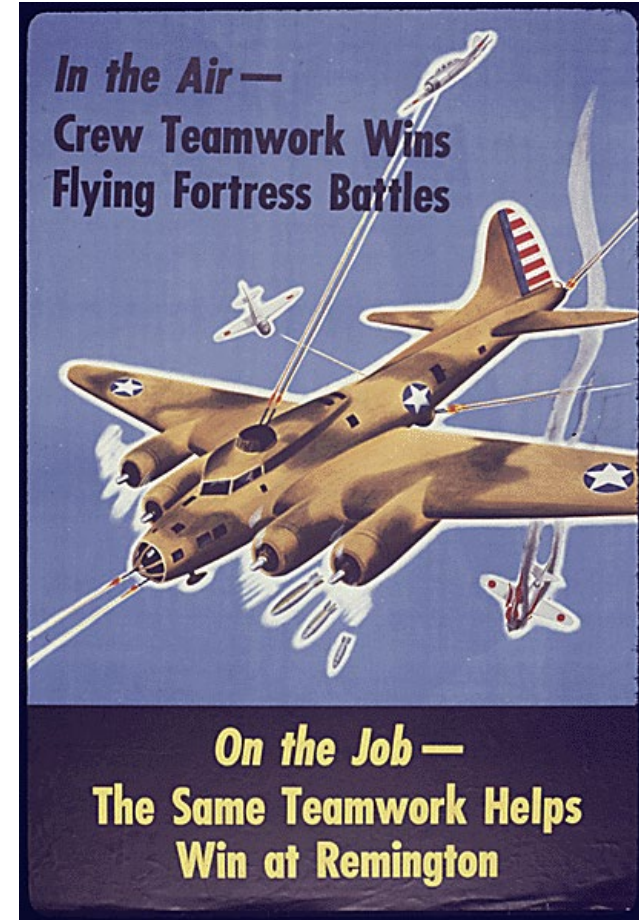
- 79% of agencies reported either minimal or no pandemic-related backlog
- 18% of agencies reported a moderate or significant pandemic-related backlog



NARA Identifier 45499357

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.



NARA Identifier 534625

e-discovery:

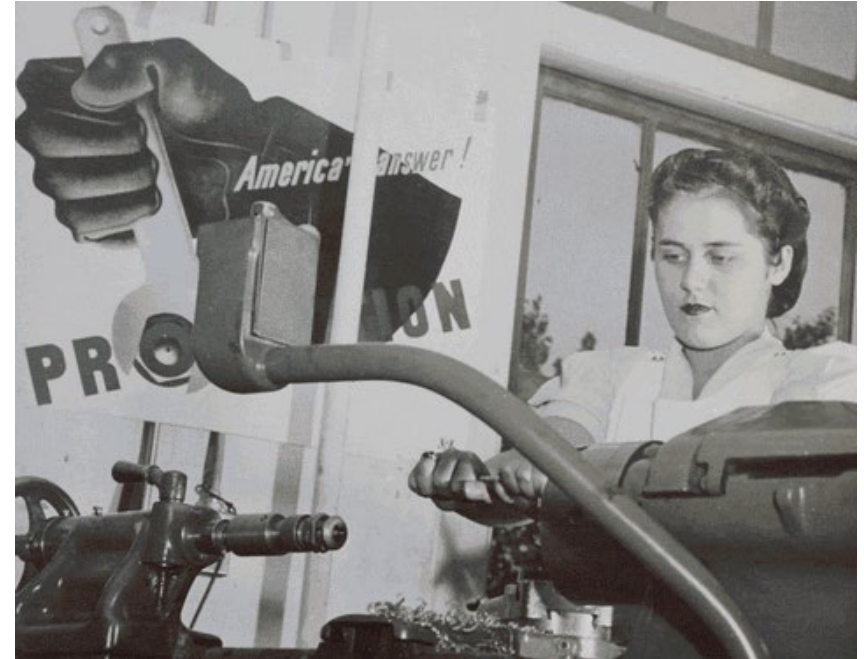


National Archives Identifier 81547844

- 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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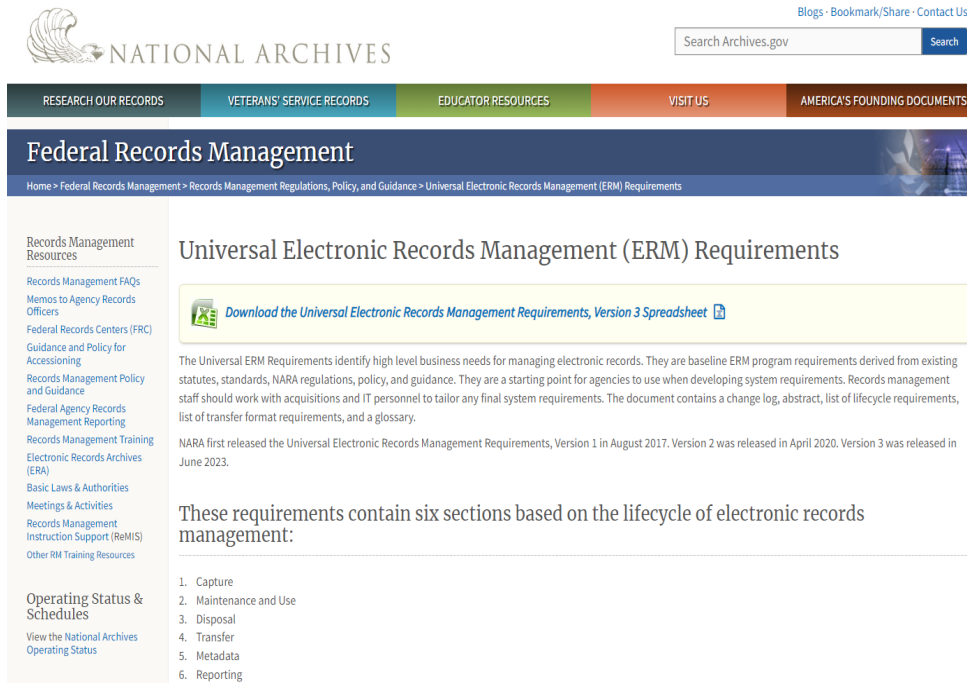
Universal ERM Requirements, Version 3

Beth Cron

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

Version 3 is Out!

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



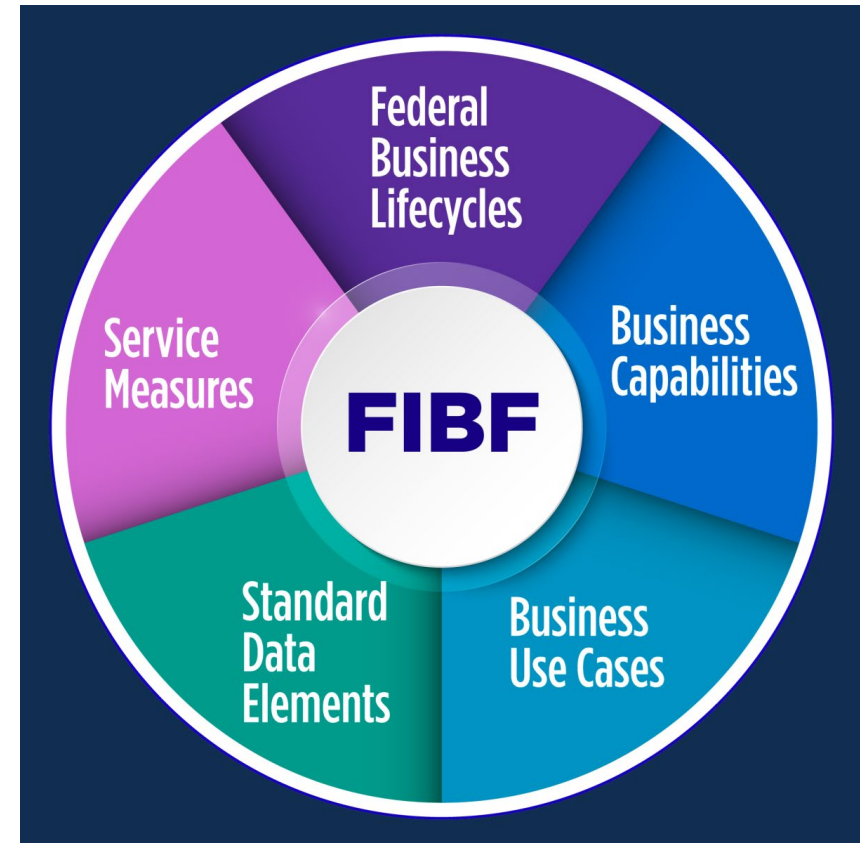
The screenshot shows the National Archives website interface. At the top left is the National Archives logo. To its right is a search bar with the text "Search Archives.gov" and a "Search" button. Above the search bar are links for "Blogs", "Bookmark/Share", and "Contact Us". Below the search bar is a navigation menu with five tabs: "RESEARCH OUR RECORDS", "VETERANS' SERVICE RECORDS", "EDUCATOR RESOURCES", "VISIT US", and "AMERICA'S FOUNDING DOCUMENTS". The main content area is titled "Federal Records Management" and includes a breadcrumb trail: "Home > Federal Records Management > Records Management Regulations, Policy, and Guidance > Universal Electronic Records Management (ERM) Requirements". The page title is "Universal Electronic Records Management (ERM) Requirements". A prominent yellow box contains a download icon and the text "Download the Universal Electronic Records Management Requirements, Version 3 Spreadsheet". Below this, a paragraph explains that the requirements identify high-level business needs for managing electronic records. A second paragraph notes that NARA first released the requirements in 2017, updated them in 2020, and released Version 3 in June 2023. A section titled "These requirements contain six sections based on the lifecycle of electronic records management:" lists the following sections: 1. Capture, 2. Maintenance and Use, 3. Disposal, 4. Transfer, 5. Metadata, and 6. Reporting. A sidebar on the left lists various resources such as "Records Management Resources", "Records Management FAQs", "Memos to Agency Records Officers", "Federal Records Centers (FRC)", "Guidance and Policy for Accessioning", "Records Management Policy and Guidance", "Federal Agency Records Management Reporting", "Records Management Training", "Electronic Records Archives (ERA)", "Basic Laws & Authorities", "Meetings & Activities", "Records Management Instruction Support (ReMIS)", "Other RIM Training Resources", "Operating Status & Schedules", and "View the National Archives Operating Status".



- 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



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
 - 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](https://www.archives.gov/records-mgmt/meetings/index.html)



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