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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](mailto:rm.communications@nara.gov)**



**December 13, 2022**



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# Welcome

## Laurence Brewer

### Chief Records Officer for the U.S. Government



- Welcome
- Opening Remarks
- Federal Records Centers Program Updates
- FY22 Annual Reporting Update
- Changes to Previously Approved Schedules
- NA 14130 for Classified Transfers
- Capstone Approach for Electronic Messages
- ERA 2.0 Status Updates



# NARA Updates

- Status of M-19-21
- AROC Credential Renewal



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# FRCP Updates

**Christopher Pinkney**  
Acting Director  
Federal Records Centers Program



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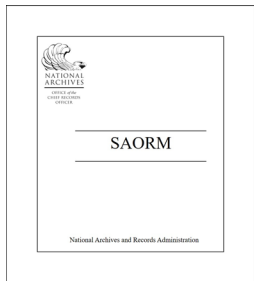
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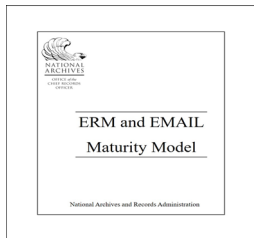


# Federal Agency Records Management Annual Reporting

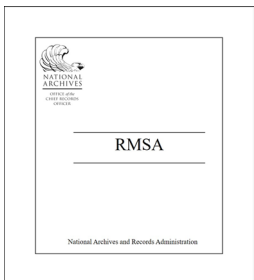
**DATES: January 9 through March 10, 2023**



Senior Officials' perspective on an agency's records management program. Records management program developments related to the transition to electronic recordkeeping as outlined in M-19-21, and other aspects of agency records management programs.



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.



Agency records officers provide an evaluation of their individual agency's compliance with federal records management statutes, regulations and program functions.

[rmselfassessment@nara.gov](mailto:rmselfassessment@nara.gov)



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# Changes to Previously Approved Schedules

**Margaret Hawkins**  
Records Management Operations



# Changes to Previously Approved Schedules

- Aka “Pen-and-Ink” Changes
- Discontinued beginning January 2023
- Rescheduling will be required



# Changes to Previously Approved Schedules

- Will be communicated in early January 2023
- Communication via AC Memorandum
- Rescind Current FAQs



# Changes to Previously Approved Schedules

- All previously approved changes remain valid
- All pending requests need to be completed by mid-January



# Changes to Previously Approved Schedules

- Eliminates dual processes
- Brings authorities into fully digital environment (ERA 2.0)
- Supports the requirement to review schedules every five years



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# **NA 14130 for Classified Transfers**

**Don Mcilwain**

**Director of the FOIA/MDR Division  
National Declassification Center**



# NA 14130 for Classified Transfers

- Agency:
- Declassification Manager:
- Agency ID # (Internal transfer #):
- Phone #/email:
- ERA Transfer Request #:
- FRC Transfer #:
- NARA (N1/NC1/DAA) Disposition Authority:
- Box #s
- Series Title:





# NA 14130 for Classified Transfers

**1. Have these records been reviewed for declassification in accordance with section 3.3 of E.O. 13526 & 32 CFR section 2001.30j ?**

**Yes**

**No (STOP. Records may not be accessioned into the National Archives until a review has been completed. Contact [NDC@nara.gov](mailto:NDC@nara.gov) to discuss.)**



# NA 14130 for Classified Transfers

## **2. This series of records has been reviewed to evaluate the presence of RD/FRD information, as described under the Special Historical Records Review Plan (Supplement)**

### **Yes Determination:**

- This series of records is Highly Unlikely to contain RD or FRD information.
- This series of records contains Marked RD/FRD information.
- This series of records contains Un-Marked RD/FRD information.

**Determination Date (most recent): Are boxes labeled to show a review was performed? Y/N**

**No (STOP. Contact [NDC@nara.gov](mailto:NDC@nara.gov))**



# NA 14130 for Classified Transfers

**3. Have all exempt documents been tabbed using an SF 715?**

**Yes**

**No (my agency equities are fully declassified)**

**Note: Unless properly exempted, your agency's equity is automatically declassified when 25 years old. Note: Though your agency equities may be declassified in full, records are still classified if other agency equities are present.**



# NA 14130 for Classified Transfers

**4. Have all referrals & exclusions been tabbed in accordance with 32 CFR section 2001.24?**

**Yes**

Please submit an electronic copy of any unclassified data maintained regarding the declassification review via an attachment (separate from the 14130 form) to the ERA Transfer



## 5. Do any records contain SAP or other information requiring special, read-in access?

**Yes**

(STOP. Contact [NDC@nara.gov](mailto:NDC@nara.gov). NARA is rated to store some SAP programs. If NARA is not rated for these records they cannot be accessioned into the National Archives until NDC staff have been read into the SAP.)

**No**



# NA 14130 for Classified Transfers

**If metadata is maintained in a classified system, submitting via hard media, or if submitting an SF 258, please coordinate with NDC**

**Naming convention: TR #\_declass\_review\_data,  
Example: TR-0064-2016- 0234\_declass\_review\_data.**



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# Capstone Approach for Electronic Messages

**Margaret Hawkins**

Director

Records Management Operations





# Guidance on Managing Electronic Messages

NARA will be issuing several guidance products related to managing electronic messages. Here is a preview of what's coming:

- Updates to regulations (36 CFR 1220 and 1222)
- NARA Bulletin expanding the Capstone approach to electronic messages
- GRS Transmittal expanding GRS 6.1 for electronic messages
- Updates to form NA-1005 to implement the expanded GRS



# Capstone Approach for Electronic Messages

- The GRS 6.1 has been expanded to include certain other types of electronic messages
- Transmittal is expected in January of 2023
- Agencies may then use the GRS for email, or for email and the other types of electronic messages included in the scope



# Capstone Approach for Electronic Messages

- The form NA-1005 is still required
- Pursuant to NARA Bulletin 2022-02, resubmission of NA-1005 forms will be required as of January of 2023
- An AC Memo defining the resubmission cycle as 1/31/2023 through 4/30/2023 is forthcoming



# Capstone Approach for Electronic Messages

- The form NA-1005 is being revised to account for the changes to the GRS 6.1.
- We will post the form on our website as soon as possible. Please be on the lookout for an AC memo announcing the posting.



# Capstone Approach for Electronic Messages

- Earlier versions of the form will not be accepted
- NARA will provide a webinar on the new version of the form on 1/24/2023 – an AC Memo with details is forthcoming



# Capstone Approach for Electronic Messages

- New Form: late December/early January
- NA-1005 Webinar: January 24, 2023
- Resubmission Cycle: 1/31/2023 through 4/30/2023



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# Update on ERA 2.0 Launch

**David Lake**

Program Manager, ERA

**Sam McClure**

Electronic Records Program Director



## Timeline to Agency Use of ERA 2.0

- Project underway to analyze and migrate Records Schedule and Transfer Request forms data from the current ERA Base system to the revised versions of these forms in ERA 2.0
- Final migration of data will require a pause in the use of ERA for a period estimated to be up to four weeks
  - If the data migration project and the related efforts remain on schedule, we will stop use of the current ERA Base system around early-to-mid February of 2023, and then launch ERA 2.0 around early-to-mid March of 2023
- These are the earliest possible dates and are still subject to change



## User Accounts

- ERA 2.0 Agency user roles are same as current ERA roles (Records Scheduler, Certifying Official, Transferring Official, Approving Official)
- NARA will create accounts in ERA 2.0 for all current agency users of ERA based on current ERA user profiles
- PIV/CAC Authentication Requirements:
  - Active ERA 2.0 account
  - Active OMB MAX.gov profile for PIV/CAC authentication
    - For users who do not have a PIV/CAC we can support with alternate authentication means
    - User guide to set up OMB Max.gov profile will be provided



# Agency Use of ERA 2.0

We will continue to refine and update the timeline for the shutdown of ERA Base and the release of ERA 2.0 for Agency use.

We will continue to communicate whether we remain on the current schedule or have to postpone



# General Q&A

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# **NEXT MEETING**

**Tuesday**

**February 14, 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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# Technical Difficulties Please Stand by

[rm.communications@nara.gov](mailto:rm.communications@nara.gov)

Bi-Monthly Records and Information Discussion Group  
[archives.gov/records-mgmt/meetings/index.html](https://archives.gov/records-mgmt/meetings/index.html)