NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

NATIONAL ARCHIVES
Agency Services

B R I D G

Bi-Monthly Records and Information Discussion Group

To Ask Questions

Chat via YouTube

or

Email rm.communications@nara.gov

October 19, 2021

Welcome

Gordon Everett

Director

Federal Records Centers Program

BRIDG Agenda

- Welcome and Announcements
- Federal Records Center Program Updates
- Annual Move
- Annual reporting data
- OGIS reporting update/advisory committee update

FRCP Updates

Gordon Everett

Director

Federal Records Centers Program

FRCP Reopening Plan

CDC Transmission Levels and Occupancy Levels

High: Up to 25% Occupancy, Volunteer Only
Substantial: No occupancy limits
Moderate: No occupancy limits
Low: No occupancy limits

- No occupancy limits = no limits on the number of staff who *can* enter a facility. *It does not mean that an FRC is at 100% pre-pandemic staffing levels.*
-
Each FRC updates their capabilities based on current staffing levels.
- https://www.archives.gov/frc/operating-status

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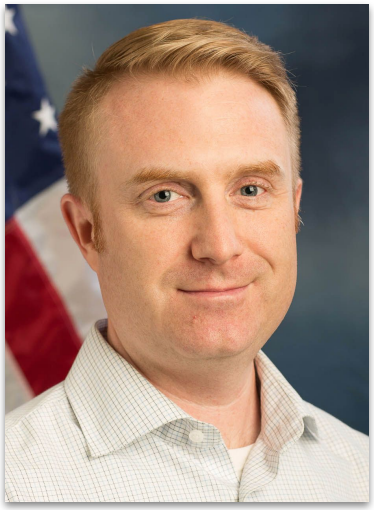

Annual Move

Matt Eidson/Derek Kennedy

Permanent Records Capture

Overview

The purpose of this presentation is to describe the 2022 Annual Move process and review deadlines for completion.

2022 Annual Move

Background

- Changes in the candidate list distribution/ cut-off for ARCIS data changes
- ERA availability due to Hurricane flooding
- Facility closures, delays in review and transfer during COVID

2022 Annual Move Timeline

- 5/1/2021- Candidate list sent to agencies
- 6/30/2021- Candidate list feedback deadline
- 10/1/2021 - TR's loaded into ERA
- 12/1/2021- TR's proposed by agencies deadline
- 1/15/2022- NARA approval decision deadline
- 1/15/2022- 3/31/2022 NARA moves records
- 6/1/2022 - Proposal Deadline for Late Summer Move
- 7/15/2022 - Approval Decision deadline for Late Summer Move
- 7/15/2022 – 9/30/2022 Late Summer Move

2022 Annual Move Facts

- On October 1st NARA 6908 transfers totaling 103,727 cubic feet
- Records covering 149 agencies
- Oldest records date from 1875
- On average each agency has about 40 TRs to propose (some quite a few more, some just one)

2022 Annual Move So Far

On October 2021, we loaded 6,908 TR's in ERA

- 6,658 are still in Draft Status
- 148 are in SFAA Status
- 90 have been proposed by the Agency
- 92 are in Ready For Approval Status
- 0 are in Approved Status

Top 5 Agencies with Largest Number of TR's

District Courts of the United States	1502
Environmental Protection Agency	884
National Aeronautics and Space Administration	704
Department of State	439
Department of the Army	364

What Agencies Should Do

- **Propose TRs by December 1st**
- **Steps to proposal:**

1. Complete an advanced search in the keyword search field for "2022 Annual Move" to locate your assigned TRs.

2. Review and make any necessary changes to the draft TR

3. Records Officers who have dual roles in ERA as Transferring Official and Agency Approving Official will need to hit submit twice in order to have the TR fully proposed.

What Agencies Should Do

- **Propose TRs by December 1st**

4. Agencies with single roles in ERA the Transferring Official Submits for review/approval to the Agency Approving Official. TRs can not be approved by NARA unless the Agency Approving Official submits the TR in proposed status in ERA.

Note: For guidance on access and use restriction fields consult pages 48-53 of the ERA User Manual

https://www.archives.gov/files/records-mgmt/era/agency-user-manual.pdf

Common Problems Encountered

- Cannot locate TRs for agency
- Transferring Official / Agency Approving Official
- VPN/ Browser reminder
- Access Restriction Field

Updates to Annual Move Website

References (further info)

- ERA User Guide
  https://www.archives.gov/records-mgmt/era
- Annual.Move@nara.gov
- ERAhelp@nara.gov / 877-372-9594

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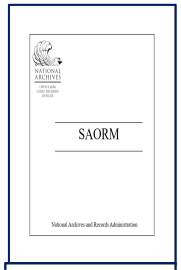
Federal Agency Records Management Annual Reporting

Don Rosen
and
Cindy Smolovik

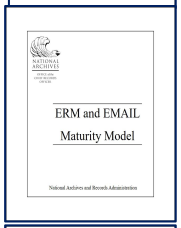
Federal Agency Records Management Reports 2020

January 19 through March 19, 2021 – covering activity in 2020



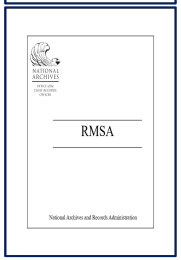
SAORM Report

Senior Official's perspective on an agency's records management program. The 2020 SAO Reports focused on the impact of COVID-19, Administration Change, and M-19-21 targets to transition to fully electronic recordkeeping by December 31, 2022.



Maturity Models

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.



RMSA

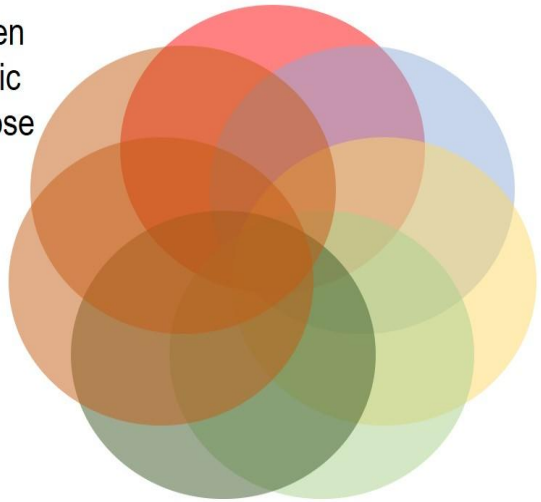
Agency records officers provide an evaluation of their individual agency's compliance with Federal records management statutes, regulations and program functions.

Key Observations

Federal Agency RM Annual Reporting 2020
Key Observations

COVID-19 - Agencies that had been making progress towards electronic recordkeeping fared better than those that had not.

COVID-19 highlighted the need for electronic recordkeeping, and in some cases accelerated the transition

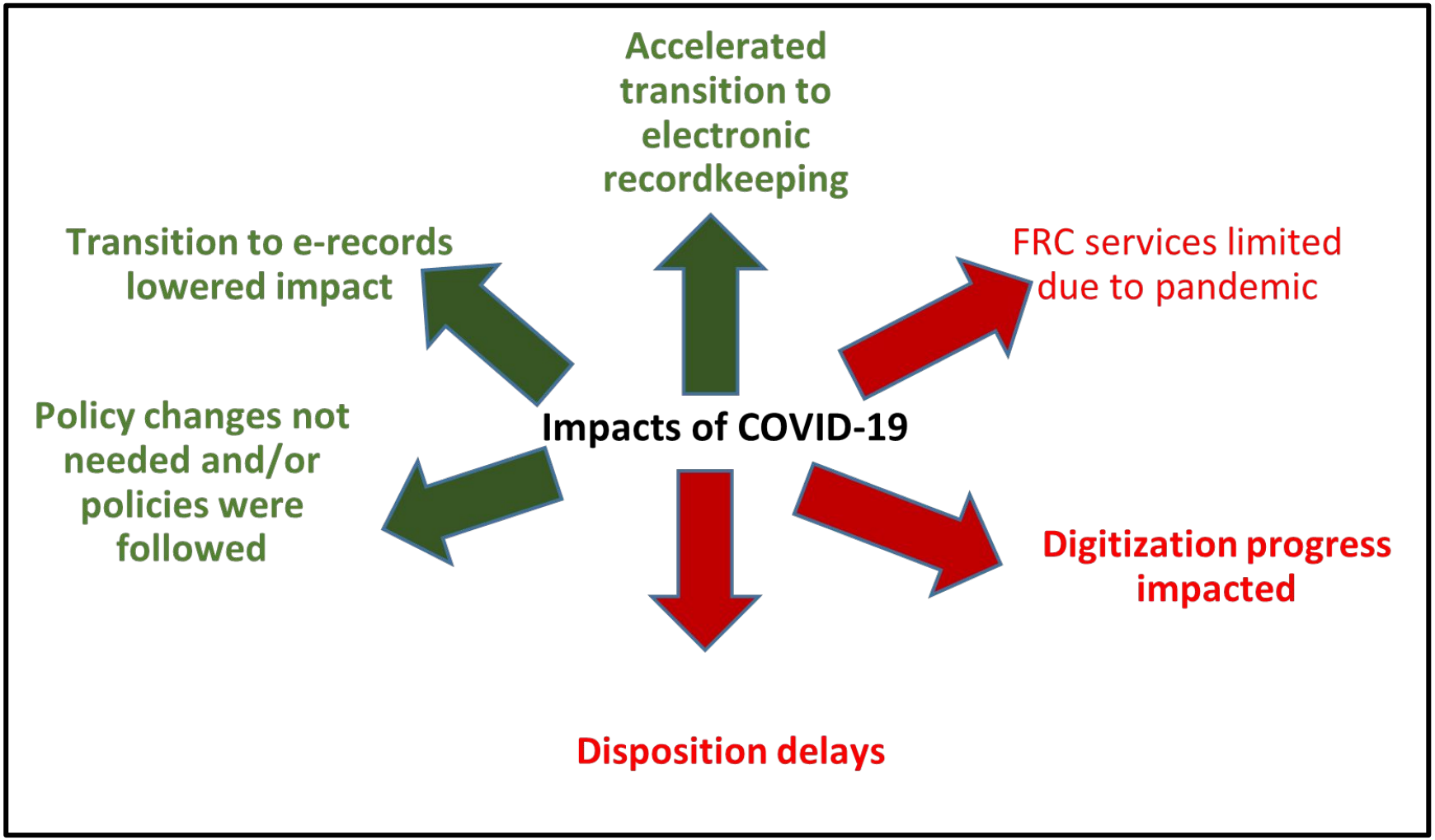


Challenges to the transition to electronic recordkeeping have shifted from technology to culture.

Most agencies are using electronic recordkeeping or management systems of some kind.

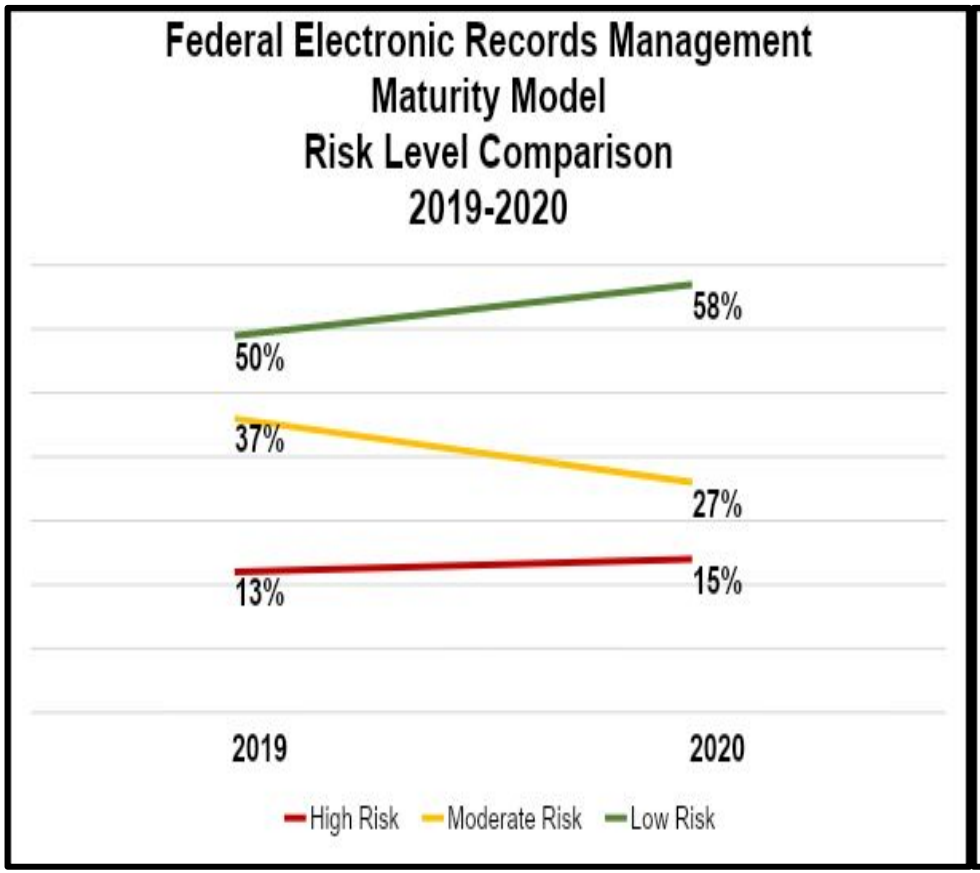
Meeting the requirements for managing records in electronic information systems is a weak area, with less than half of agencies reporting having systems that meet the requirements for successfully managing electronic records.

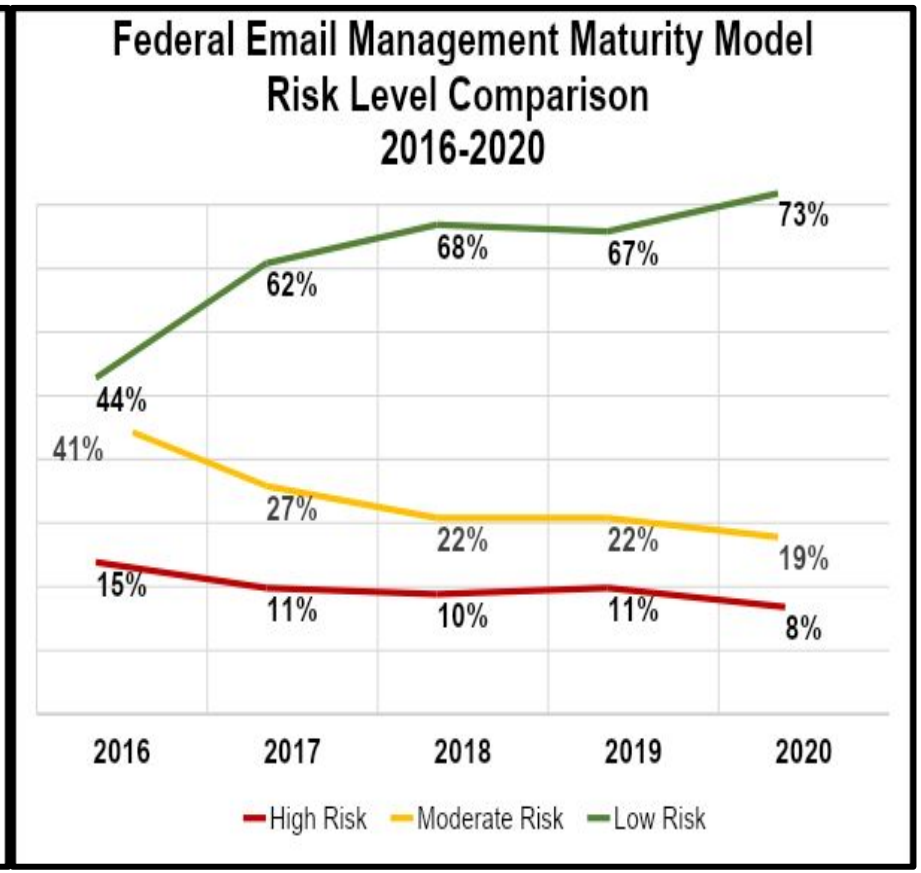
Impacts of COVID-19



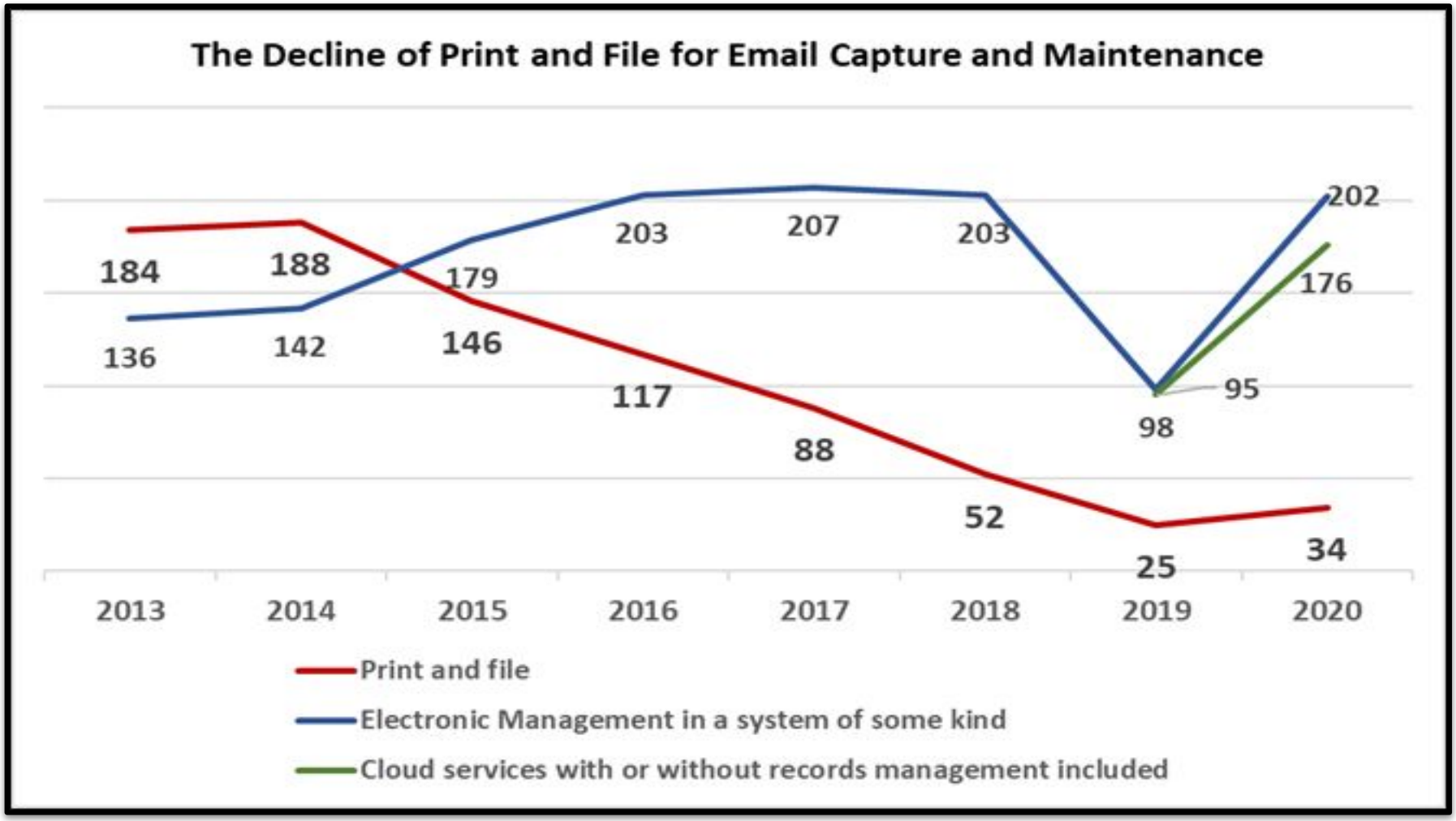
Records Management Self-Assessment 2020

Federal Electronic Records and Email Management Reports 2020





Email Management Shifts



Other Interesting Statistics

- At least 80% of agencies AROs have or will obtain the AROC
- Most agencies (65%) have evaluation programs, but 35% of agencies monitor RM programs with a mix of informal, general and ad hoc evaluations
- Most agencies (89%) have a records management directive but only 58% have updated within the last year.
- Email systems are more mature with 44% of agencies indicating that their electronic information systems meet the success criteria while noting that 73% of email systems do.

Wrap Up and What's Next

- Available on NARA's website
  - Federal Agency Records Management Annual Report 2020
  - Individual Agencies' SAORM Reports
  - Federal Electronic Records Management Report data
- Annual Reporting for 2021
  - Reporting period will be January – March 2022
  - Look for confirmed date announcement soon
  - Advanced RMSA questionnaire and Maturity Model template in December
- Please update your contact information for annual reporting
- Need help? rmselfassessment@nara.gov

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OGIS Reporting Update

Kirsten Mitchell (Lead) & Christa Lemelin
Compliance Team, Office of Government Information Services

Assessing Freedom of Information Act (FOIA) Compliance through the 2020 Records Management Self-Assessment (RMSA)

October 19, 2021

2020 RMSA Survey

The Office of Government Information Services (OGIS)

Harry and Bess Truman Wedding Party
(National Archives ID: 6778774)

Office of the Chief Records Officer for the U.S Government (CRO)

2020 RMSA Survey

Included 7 FOIA questions regarding:

- COVID-19's impact on FOIA
- Agency use of e-discovery tools
- Relationship between Chief FOIA Officers & Agency Records Officers

COVID 19

Medical Department - Influenza Epidemic 1918 – Masks for protection against influenza. Clerks in New York at work with masks carefully tied about their faces. (National Archives ID: 45499337)

COVID-19's Impact on FOIA

49% of respondents:

the pandemic disrupted their agency's ability to respond to FOIA requests.

COVID-19's Impact on FOIA

Agency responses centered on four themes:

- Access Issues
- Personnel
- Resources
- Technology

COVID-19's Impact on FOIA

Of the respondents whose FOIA programs were disrupted by the pandemic:

- 80%: agency's paper records were inaccessible due to office closures.
- 46%: agency staff were not available to search for records.

FOIA Program Response to COVID-19's

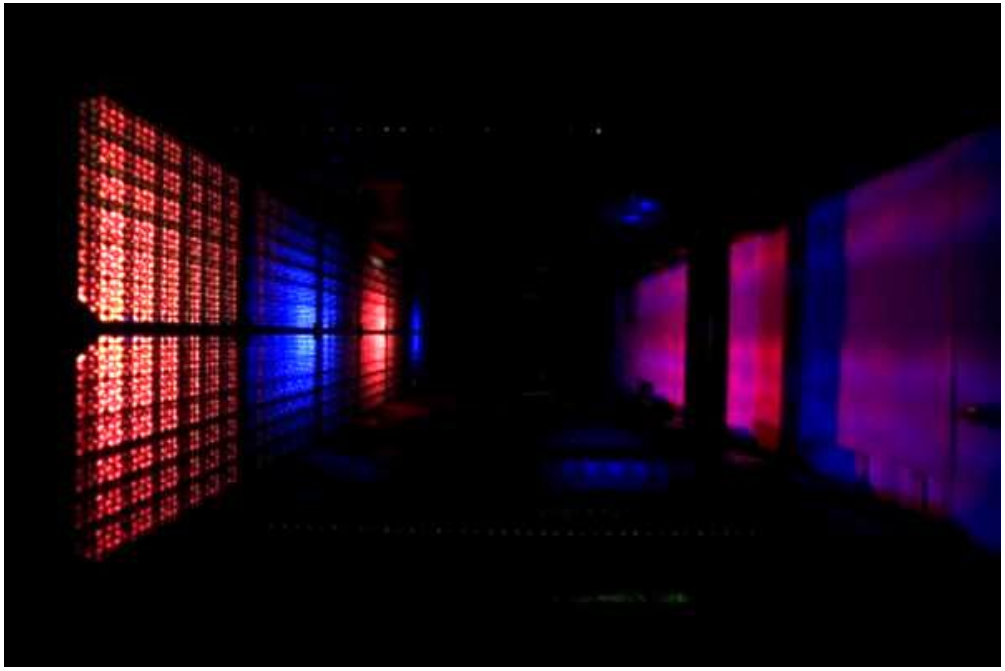
RMSA responses focused on four themes:

- Access Issues
- Communication
- Process
- Technology

FOIA Program Response to COVID-19's

- 72% worked directly with requesters to tailor their requests for most efficient processing
- 56% included information about any anticipated delays in requester communication
- 52% assessed technology to ensure most efficient administration of FOIA
- 50% posted a notice on the FOIA website informing requesters of most efficient way to make a request.

E-Discovery



E-Discovery & FOIA

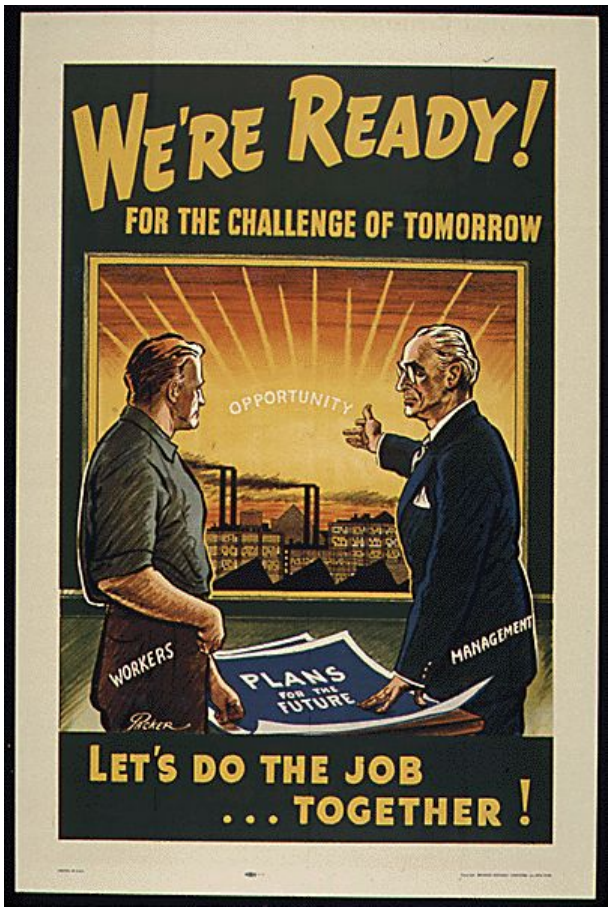
- 72%: their agencies use e-discovery tools to search for records when responding to FOIA and/or legal discovery.
- Of the respondents who reported that their agencies do not use e-discovery tools to search for records, roughly half reported that such tools are not available at their agencies.

Uses of E-Discovery

Of the agencies that reported using e-discovery tools:

- 91% said that their agencies use them for FOIA responses involving requests for email records.
- a majority said their agencies use them for lawsuit-related requests (69%), legal discovery or third-party subpoena requests (62%), managing legal holds (58%), & FOIA responses not involving requests for email records (54%).

Chief FOIA Officers & Agency Records Officers



Chief FOIA Officers (CFO) & Agency Records Officers (ARO)

- 51%: ARO and CFO work together on IT requirements that benefit both programs.

- 50%: training programs address the importance & relationship between FOIA & records management.

archives.gov/ogis
foia.blogs.archives.gov
@FOIA_Ombuds

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General Q&A

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NEXT MEETING

Tuesday
December 14, 2021
1:30 pm EST/10:30 am PST

rm.communications@nara.gov

Bi-Monthly Records and Information Discussion Group
https://www.archives.gov/records-mgmt/meetings/index.html

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Please Stand by

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