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Bi-Monthly Records and Information Discussion Group

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April 18, 2023



- Chief Records Officer for the U.S. Government update
- Federal Records Centers Program (FRCPP) update
- Semi-annual report of oversight activities and RM assessments
- ERA 2.0 status updates
- Digitization regulations for permanent records



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Federal Records Centers Program Updates

Christopher Pinkney
Acting Director
Federal Records Centers Program



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Semi-annual Report of Oversight Activities and RM Assessments

Don Rosen
Director, Records Management
Oversight and Reporting



Semi-Annual Report of RM Oversight Activities (March 2023)

- General risks identified during inspections include internal controls, adequate resources, and senior-level advocacy.
- Specific assessment topics covered were video surveillance and portable electronic devices.
- Policies and procedures exist, but implementation continues to be an issue.
- Need more self-evaluation tools, training, and guidance.



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Video Surveillance and Portable Electronic Device Assessments

Karyn Skevakis and Andrea Noel

Senior Records Analysts

Records Management Oversight and Reporting



What are Records Management Assessments?

- A Records Management Assessment is a concise study and evaluation of a particular topic as it relates to Records Management within Federal agencies.

Today we will be presenting our two most recent completed reports, Video Surveillance Records and Portable Electronic Devices.



Scope – Focus on law enforcement agencies that utilize video surveillance records

Methodology:

- Pre-assessment questionnaire
- Data collection
- Virtual interviews with agencies

All types of video records developed by agencies were discussed, including emerging technologies.



Participating Agencies

1. Bureau of Prisons, Department of Justice
2. Customs and Border Protection, Department of Justice
3. Drug Enforcement Administration, Department of Justice
4. Federal Bureau of Investigation, Department of Justice
5. United States Marine Corps, Department of Defense
6. United States Secret Services, Department of Homeland Security

Best Practices

- Centralized approach
- ARO is actively engaged
- Policies developed in tandem with technology and deployed prior to the use of the technology
- Access is tightly controlled
- Metadata is captured with the video
- Schedules are established and utilized
- Good quality controls are established
- Specialized training developed for staff members

Challenges

- All of the agencies interviewed have numerous facilities scattered across the country, in some cases in other countries.
- Lack of funding
- Lack of hardware and software
- Lack of guidance

Recommendations

1. ARO should be a key stakeholder
2. RM policies/procedures should be incorporated into any video surveillance policies/procedures
3. Establish an overall RM policy/procedure to manage all types of video surveillance records
4. Establish standard SOPs for all facilities
5. Have SOPs to recover lost or damaged videos
6. Update records schedules regularly and video surveillance should be defined within schedules
7. Establish safeguards for long-term storage of video records

Conclusion

- Most agencies are relying on their policies to manage video records
- Using RM regulations and best practices to manage and preserve video records
- NARA recommends that agencies continue to work on mitigation strategies in order to work on identified weakness by developing and applying records management regulations, policies, and procedures to video records to ensure their integrity, reliability, and usability when applicable.

Assessment Scope & Methodology:

Assessment of five agencies' policies and practices related to the use of Portable Electronic Devices (PEDs) and management of records created/accessed by these devices.

- Pre-assessment survey
- Agency documentation review
- Semi-structured interviews



Participating Agencies:

1. National Archives and Records Administration, Corporate Records Management Division
2. Millennium Challenge Corporation
3. Occupational Safety and Health Review Commission
4. Department of the Interior's Office of the Secretary
5. United States Patent and Trademark Office

Unauthorized disposition cases related to PEDs:

- Lost/stolen/unreturned laptops w/records stored on local drives
- Resetting or wiping of cellphones
- Intentional unauthorized removal of records via remote interactions
- Information System backup failures
- Illicit employee engagement with unauthorized communication applications

RM risks factors associated with PED usage:

- Improper storage of agency records
- Ineffective segregation of federal and personal activities/records
- Non-capture of text/instant messages, photographs, videos, or audio recordings

Analysis Summary:

- All agencies provided laptops and smartphones
 - Both Android & Apple smartphones/tablets
 - Disseminate policies and specific guidance related to PEDs
 - Used IT software applications to disseminate, deploy, and manage use of PEDs
 - Laptops primarily used Microsoft operating system
- One agency issued Apple macOS laptops
- Four agencies approved use of personally-owned devices



Agency Documentation:

- Policy transmission and implementation
- Policy reference tools
- Assessment and validation of policy compliance
- Mitigation strategies for policy non-compliance
- Insufficient/ineffective communication linking PED use, records, and RM



NARA Guidance & RM Regulations:

- There is a void in specific RM PEDs guidance
- NARA's RM guidance only focus on records
- Rapid technological changes negatively impacts agencies' compliance with RM regulations

Mobile Device Management (MDM):

- MDM use varied among agencies
- MDM is primarily used to manage devices rather than records created/accessed/ stored on devices
- NARA recommend agencies employ MDM features that promote consistent retention and control of federal records

Best Practices:

- Guidance that provide how-tos in context with day-to-day operations
- Consequences for non-compliance
- Frequent transmission of RM FAQs
- Annual review & acknowledgement of user responsibilities
- Automated capture of text/instant messages

Conclusion:

- 36 CFR 1220.32 & .34(d)(2) requirements
- Evaluate RM risks associated w/ PEDs
- Stronger collaboration b/w RM & IT programs
- Continuous assessment of RM compliance associated w/ PEDs
- Implement mitigation strategies to address non-compliance
- Invest in IT solutions that automate records retention



Records Management Assessments

For more information visit NARA's RM Assessment webpage - <https://www.archives.gov/records-mgmt/resources/rm-assessments>



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AMERICA'S FOUNDING DOCUMENTS

Federal Records Management

Home > Federal Records Management > Records Management Assessments

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](#)

Records Management Assessments

What is a Records Management Assessment?

Based on the statutory authority outlined in 44 U.S.C. 2904(c), NARA's Oversight and Reporting Division established the Records Management Assessment (RMA) process in 2018 as a way to evaluate how specific issues affect RM programs, policies, processes, and procedures across the Federal government. *A Records Management Assessment is a cross-agency, interdisciplinary, evidence-based approach to Records Management within Federal agencies. Completed RMA reports will be published on a yearly basis.* For a detailed overview of the RMA process, please click [here](#)

Role of Participating Agencies

Unlike RM inspections that focus on agency compliance and corrective actions, RMAs were designed to focus on the real-life experiences agencies have with the specific assessment topic. Hence, assessments are shorter in duration and require less effort from participating agencies than inspections.



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Updates on ERA 2.0

David Lake

Program Manager, ERA

Sam McClure

Electronic Records Program Director



- **Authentication testing/account verification**
 - Underway
- **Use of ERA 2.0 for Records Schedules and Transfer Requests**
 - We will notify you when you can start your work in ERA 2.0 as we work to complete the data migration
- **First uses of upload by a small number of select agencies**
 - Starting with a very limited number of agencies who have electronic records eligible for transfer
 - If you have electronic records ready for transfer, contact the accessioning archivist associated with your transfer to determine if direct upload via ERA 2.0 is the appropriate means of transfer



ERA 2.0 Now Live to Test Authentication & Verify User Account Profile Information

- URL for the new ERA environment is <https://upload.era.archives.gov/webapps-dpe/#/>
 - Compatible with Google Chrome or Microsoft Edge
- Agency ERA 2.0 accounts with the same roles and agency permissions as accounts in the original ERA system



Accessing ERA 2.0 - Troubleshooting

- Access to ERA 2.0 requires logging in from within your agency's network (either on-site or via VPN)
 - Same network permissions approach as with the original ERA system, but we did not communicate this in advance
 - If your agency's IP information has changed please contact the ERA Service Desk
- Your email address in your ERA account and your email address in your MAX.gov profile must match



- 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
- Access via PIV/CAC
 - If you do not have access to a PIV/CAC, contact the ERA Help Desk



- Transfer Requests migrating into ERA 2.0
- Records Schedule data coming soon
- Followed by (Last Cycle's) NA-1005/Capstone Forms
- Planned completion of data migration between end of April to mid May
 - Communication by AC Memo and ERA System Notices



Support for Transition to ERA 2.0

- Training Materials - <https://www.archives.gov/era/training>
- User Manuals - <https://www.archives.gov/era/records-mgmt/records-mgmt/era/agency-manual>
- Account Support - <https://www.archives.gov/era/records-mgmt/account-request.html>



- Friday, April 21 at 2:00pm ET / Hosted via Google Meet
- Meeting ID - meet.google.com/sak-ysns-bps
- Phone
 - (US) +1 929-277-5927
 - PIN: 617 232 267#
- Information Shared by ERA System Notice email
 - If you did not receive, email me (sam.mcclure@nara.gov) for meeting information



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Digitization Regulations for Permanent Records

Lisa Haralampus

Director, Records Management
Policy and Outreach



Background

- 2014: FRA Amendment
- 2018: NARA's Strategic Plan
- 2019: OMB Memo M-19-21
- 2019: Digitization regulation for temporary records published as a final rule
- 2020: Draft digitization regulation for permanent records published for public comment
- 2022: Draft digitization regulation for permanent records sent for review to select agencies
- 2022: OMB Memo M-23-07
- 2023: Digitization regulation for permanent records published as a final rule



Digitization Standards for Temporary Records

- [36 CFR Part 1236 Subpart D -- Digitizing Temporary Federal Records](#)
- Specifies high level requirements for temporary records
- Published as a Final Rule 4/19/2019
- Supported by an [Frequently Asked Questions \(FAQ\) about NARA's Digitization Regulation](#)



Digitization Standards for Temporary Records

36 CFR Subpart D -- Digitizing Temporary Federal Records

§ 1236.30 Requirements for digitizing temporary records.

§ 1236.32 Digitization standards.

§ 1236.34 Validating digitization.

§ 1236.36 Disposing of original source records.



Digitization Standards for Permanent Records

36 CFR Subpart E -- Digitizing Permanent Federal Records

§ 1236.40 Scope of this subpart

§ 1236.41 Definitions for this subpart

§ 1236.42 Records management requirements

§ 1236.44 Documenting digitization projects

§ 1236.46 Quality management requirements

§ 1236.48 File format requirements

§ 1236.50 Digitization requirements for permanent paper and photographic prints

§ 1236.52 Digitization requirements for permanent mixed-media files

§ 1236.54 Metadata requirements

§ 1236.56 Validating digitized records and disposition authorities

Scope of this Subpart:

This regulation applies to records that can be scanned using reflective techniques, such as

- Paper records (all sizes and types)
- Printed photographs
- Mixed Media Records

But *not* materials that are scanned using transmissive or other techniques, such as

- Photographic negatives
- Motion picture film
- Microforms
- A/V records



36 CFR 1236.42

Records Management

Records Management Requirements:

- Establish intellectual control
- Records must be prepared, indexed, maintained in their original order
- Survey source records for preservation problems and select equipment that safely digitizes originals
- Identify the age, media types, dimensions, required level of detail, and condition of source records prior to digitization

Documentation Requirements:

- You must implement a program that digitizes records to the parameters in the regulation
- You must create the following documents when digitizing permanent records and retain them in association with the digitized records:
 - A defined project plan
 - Quality management plans describing quality assurance (QA) objectives that achieve the requirements
 - Quality control (QC) procedures
 - Documentation is retained by agencies, not transferred to NARA



Quality Control Inspection Requirements:

- Identify and correct errors due to:
 - Malfunctioning or improperly configured digitization equipment
 - Improper software application settings
 - Incorrect metadata capture
 - Human error
- Regularly execute QC inspections of files for compliance with all parameters

File Format Requirements:

Digital files for Textual and photographic print records must be encoded in the following formats:

- TIFF
- JPEG 2000
- PNG
- PDF/A (any version as long as the attachments feature is not used)

Image data must be uncompressed or use one of the following visually lossless compression methods:

- Uncompressed
- Deflate (Zip)
- JPEG 2000 part 1 core coding system lossless compression (Agencies may use up to 20:1 visually lossless compression)



36 CFR 1236.50

Digitization Requirements

Digitization Requirements for Permanent Paper and Photographic Print Records:

- The regulation has two major imaging specifications: Mass Digitization and Prints and Photographs
- Equipment must be appropriate for media type, capable of meeting project requirements, and the imaging parameters
- Implement quality analysis using reference targets to verify conformance to imaging parameters
- Regularly test equipment to ensure they are operating optimally, at beginning of workday, start of each batch, or when problems are detected



36 CFR 1236.52

Mixed Media

Digitization Requirements for Permanent Mixed-Media Files:

- Identify the contents of any electronic or analog storage media
- Determine whether any files on the storage media are records
- If the files are records, determine whether they are components of mixed-media files that are being digitized.
- If they are permanent records not associated with the rest of the records in the file migrate them to an electronic information system



Metadata Requirements:

- Capture administrative metadata, including the source record's disposition and item number
- Capture descriptive metadata from source records at the record level
- Capture descriptive rights and restrictions metadata from source records at the record level, to document any that relate to the records
- Generate and capture technical metadata
- Generate checksums when digitization is complete
- Capture technical metadata describing the digitization process and resulting electronic records



Validating Digitized Records and Disposition Authorities

- Ensure that digitized records meet all image quality, metadata, and records management requirements
- A separate step from quality management
- Ensure that the digitized records are complete and accurate, and can meet the same business needs as the originals
- Agencies should consult with their General Council to ensure that their validation process is sufficient



More to come!!

- We will issue a new General Records Schedule 4.5 Digitization Records
- We will have webinars to discuss the new regulations in more detail
- We will issue additional guidance products, training, and resources
- We post a series of blogs on Records Express about digitization
- We are also working on digitization standards for film records
- We are working with GSA on vendor solutions related to digitization



General Q&A

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NEXT MEETING

Tuesday

June 13, 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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