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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)**



**August 17, 2022**



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**Welcome**  
**Jay Trainer**  
Executive for Agency Services

AGENCY SERVICES



- Welcome
- Opening Remarks
- Federal Records Centers Updates
- Federal Agency Annual Reporting: Annual Report 2021
- Office of Government Information Services (OGIS) Update: RMSA Reporting and the FOIA Advisory Committee

# NARA Updates

- ERA 2.0 update
- NARA Guidance
- AROC renewal



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# FRCP Updates

**Christopher Pinkney**

**Jefferson Lunsford**

**Arthur Hawkins**

**Federal Records Centers Program**



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# **Federal Agency Annual Reporting: Annual Report 2021**

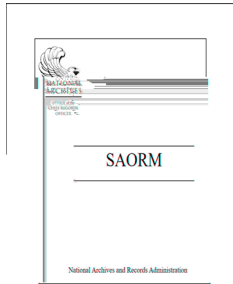
**Cindy Smolovik**  
Oversight and Reporting



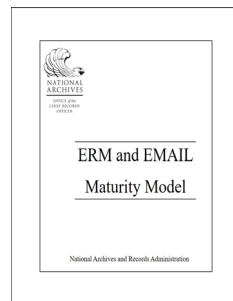
# Annual Reporting 2021

- Reporting Period = Jan 10 to March 11, 2022
- Response Rate = 96%
- Topics
  - M-19-21
  - Impacts of COVID-19
  - Information Governance
  - RMSA and Maturity Model Risk Levels
  - Major Weak Points for ERM

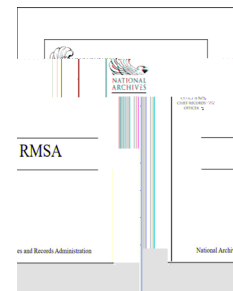




Senior Officials' perspective on an agency's records management program. The 2021 SAORM Reports focused on the impact of COVID-19, M-19-21 targets to transition to fully electronic recordkeeping and integrating records management into the information governance framework.



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.

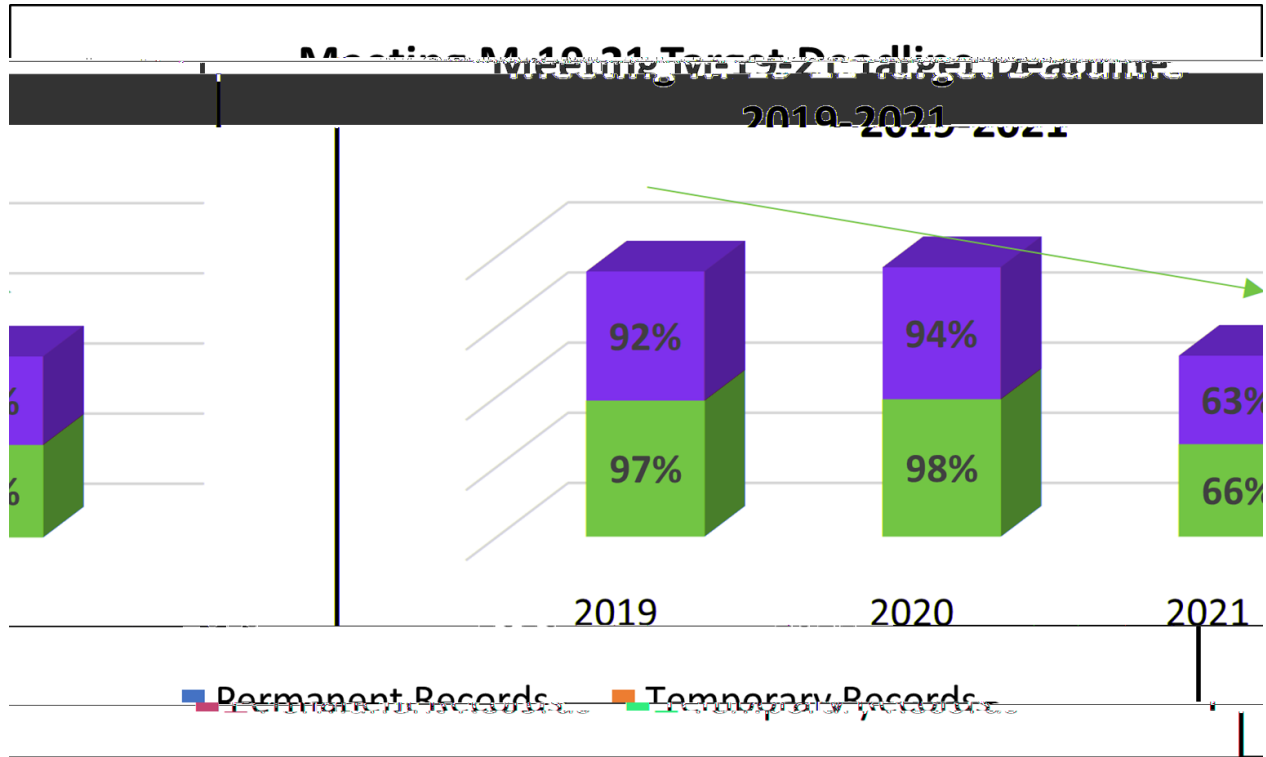


Agency records officers provide an evaluation of their individual agency's compliance with Federal records management statutes, regulations and program functions.

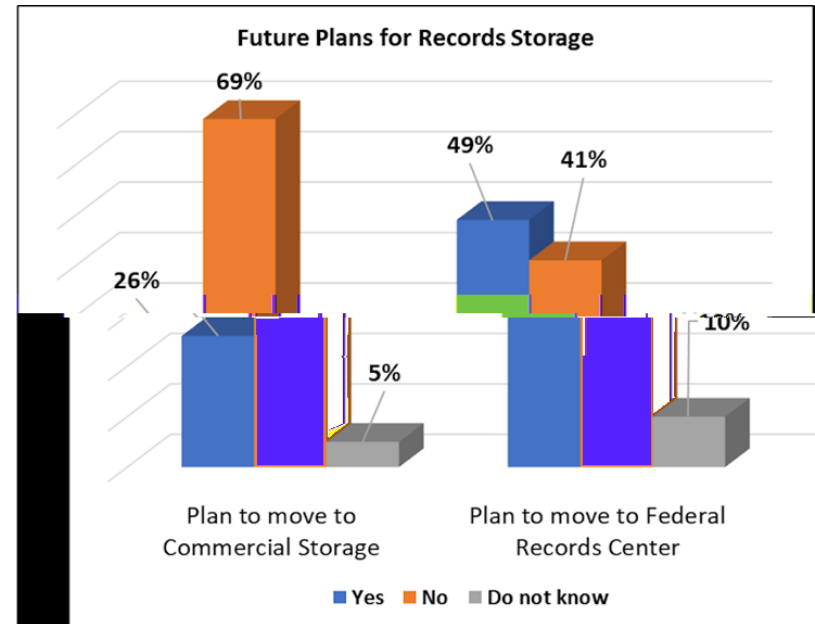
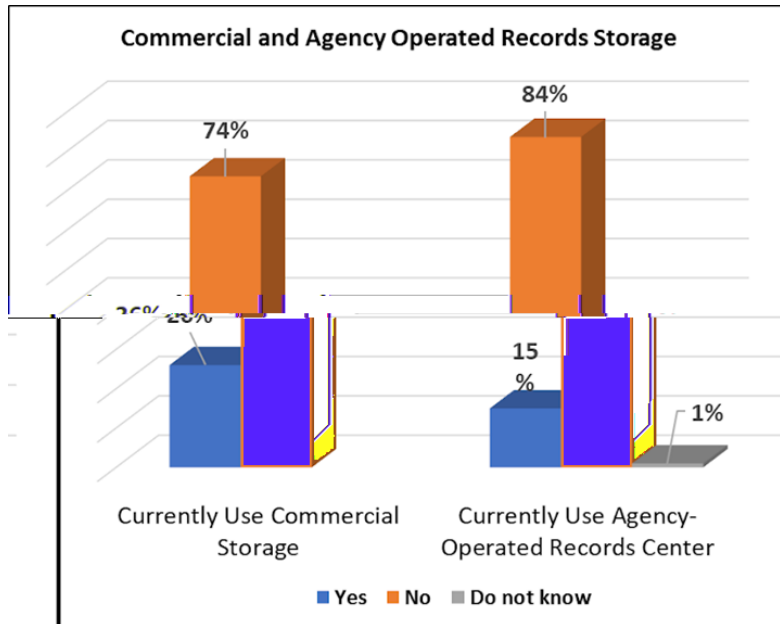


# M-19-21: December 31, 2022

There was a considerable drop in agencies' confidence in goals to manage permanent records with associated metadata and temporary records in electronic formats by December 31, 2022.



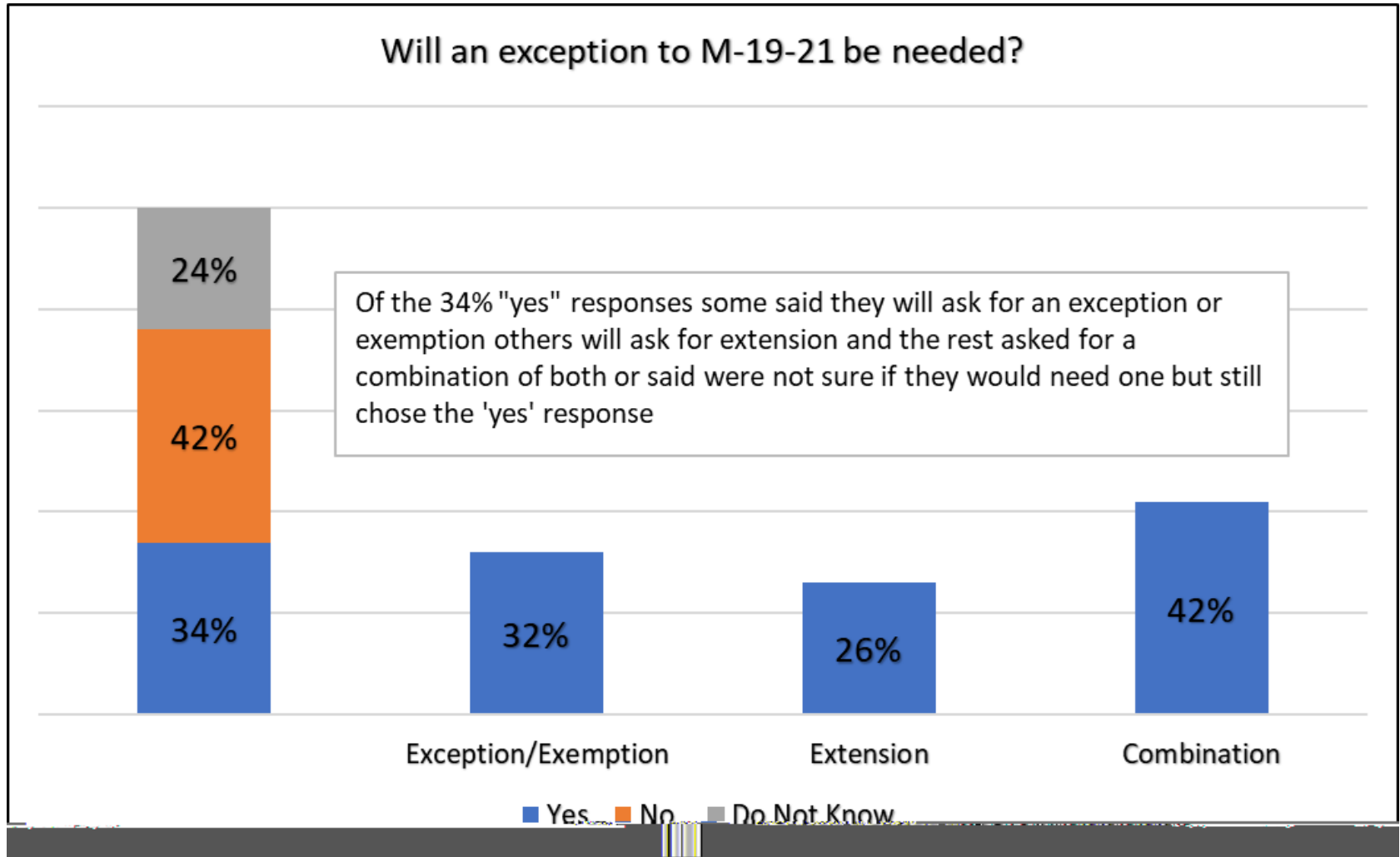
# M-19-21: Records Storage



- Most agencies do not currently use commercial storage
- Most agencies do not plan to use commercial storage in the future
- Most agencies plan to either transfer records to the FRCs or use agency space



# Exception To M-19-21

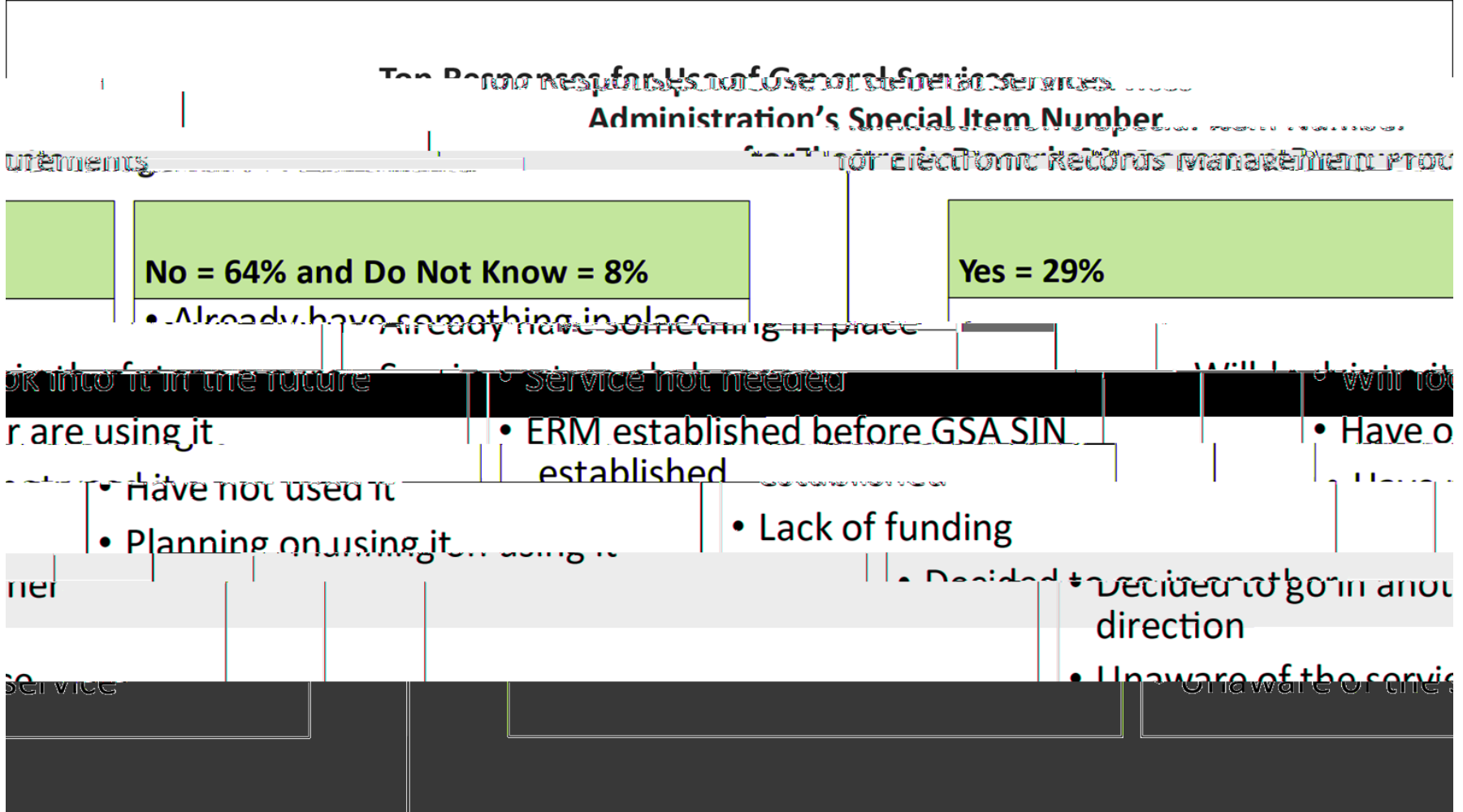




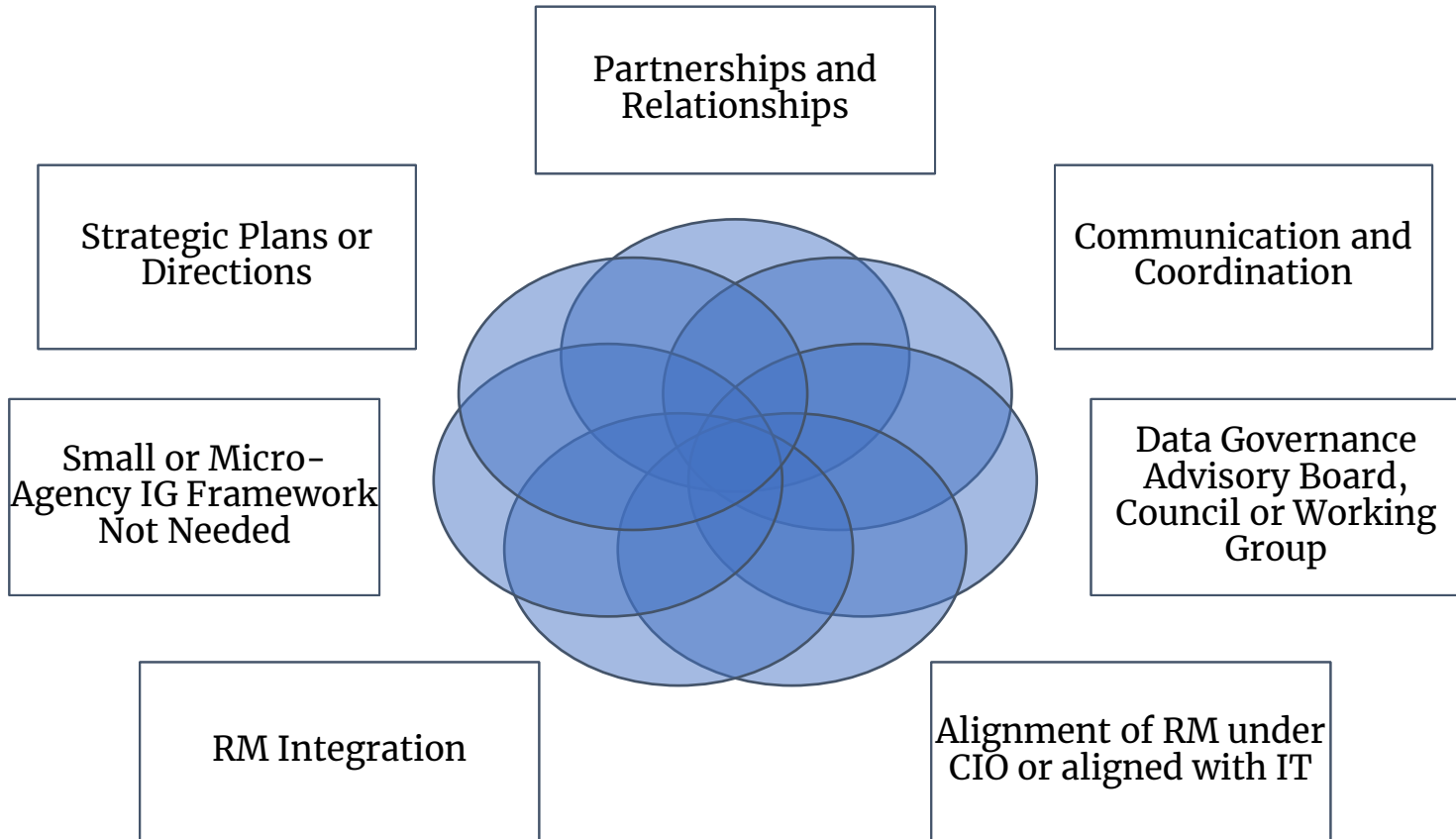
<b>Top Responses to the Impact of COVID-19 Question</b>		
<b>Q2_COVID-19 IMPACTS_Negative</b>	<b>Q2_COVID-19 IMPACTS_Actions</b>	<b>Q2_COVID -19 IMPACTS_Positive</b>
Limited FRC Operations	Reevaluate and update business processes	Accelerated transition to electronic recordkeeping
Limited ability to access paper in storage or office space	Telework	Changes to Policy, Process and requirements not needed
Disposition delays	Provided additional information for virtual work environment	No impact/No Details
Reduced ability to conduct evaluations	Successful remote access to electronic records	Successful remote access to electronic records
Delays in efforts to meet M-19-21 deadlines	Updated policies, procedures, guidance	All records managed electronically prior to pandemic



# ERM Procurement



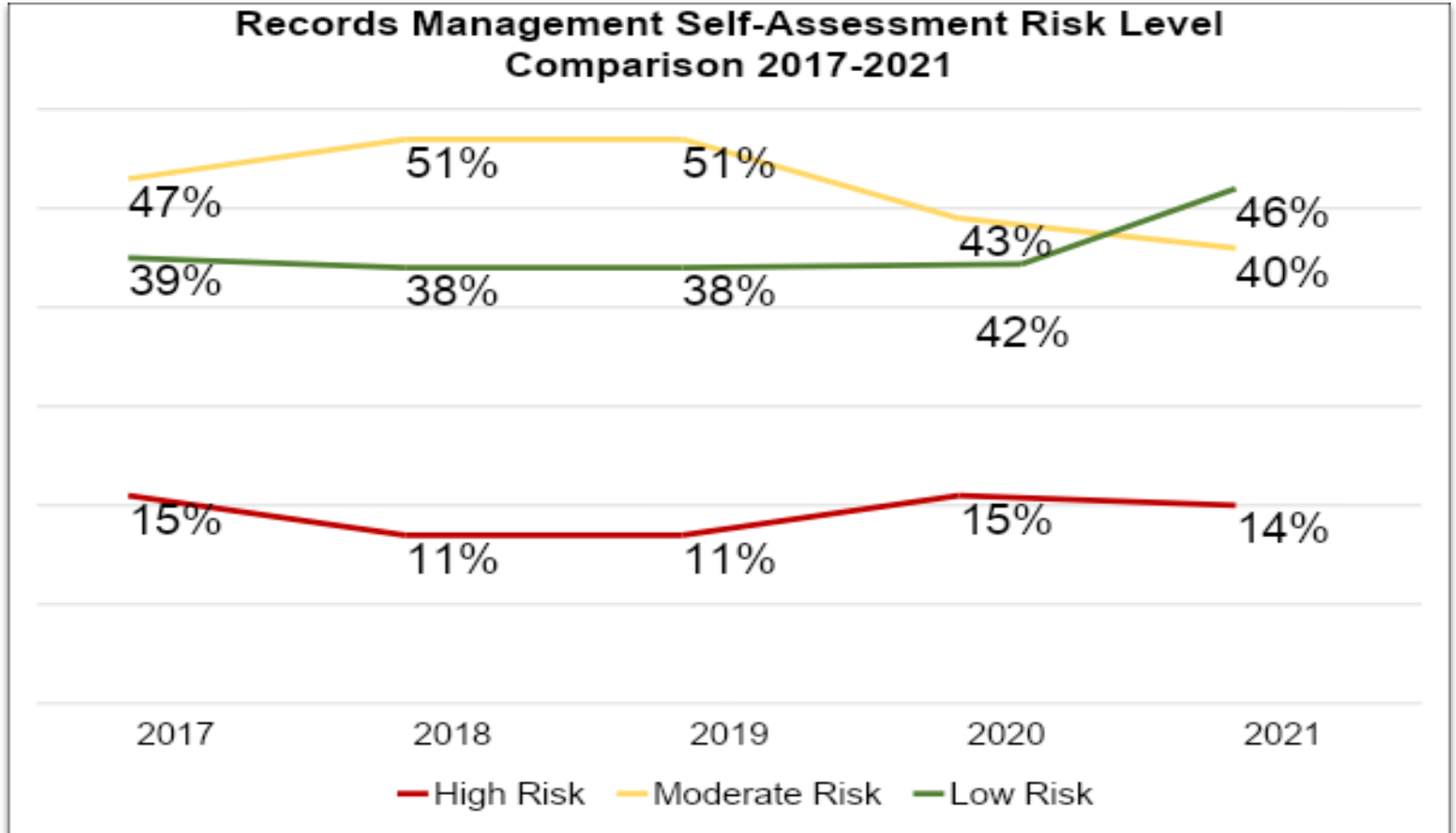
## Top Responses to Information Governance Framework



Senior Agency Official for Records Management 2021 Reports - April 2022



# RMSA Risk Levels

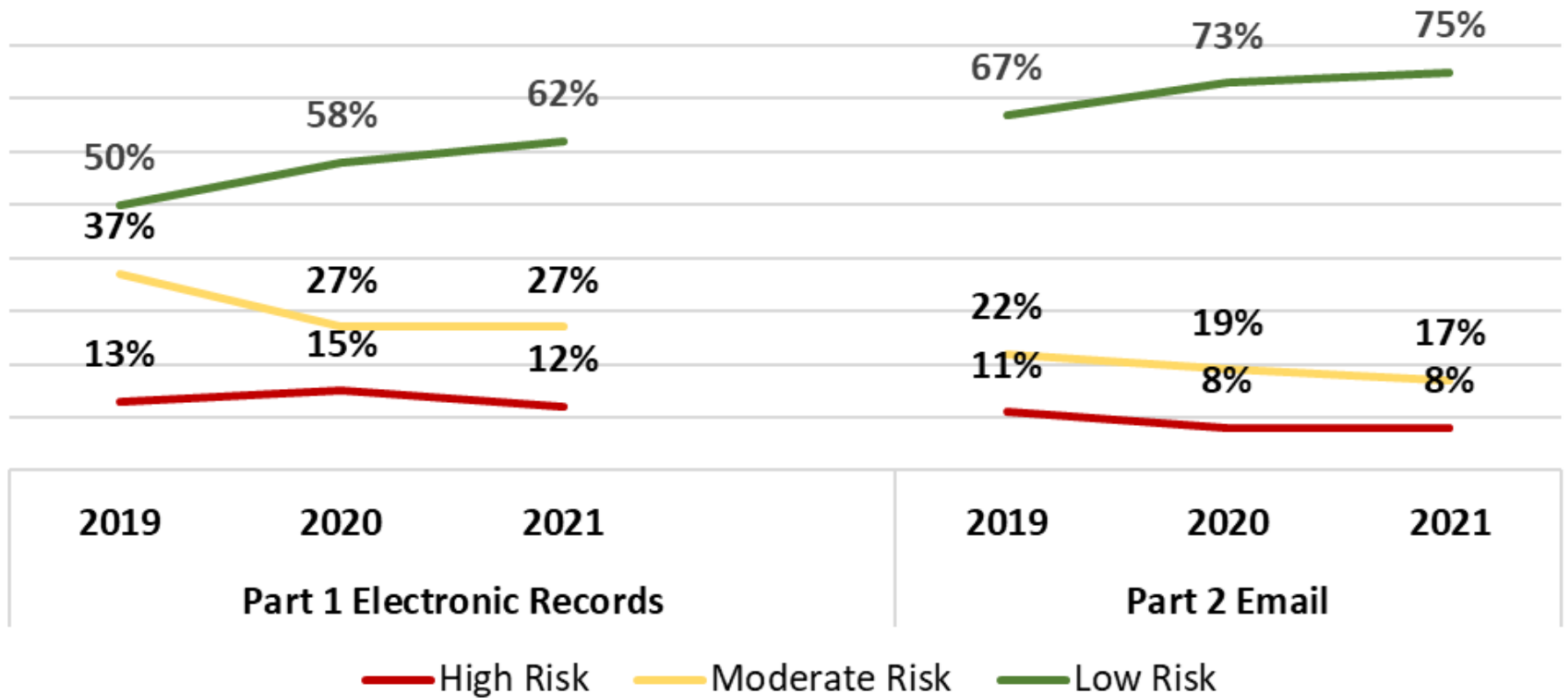




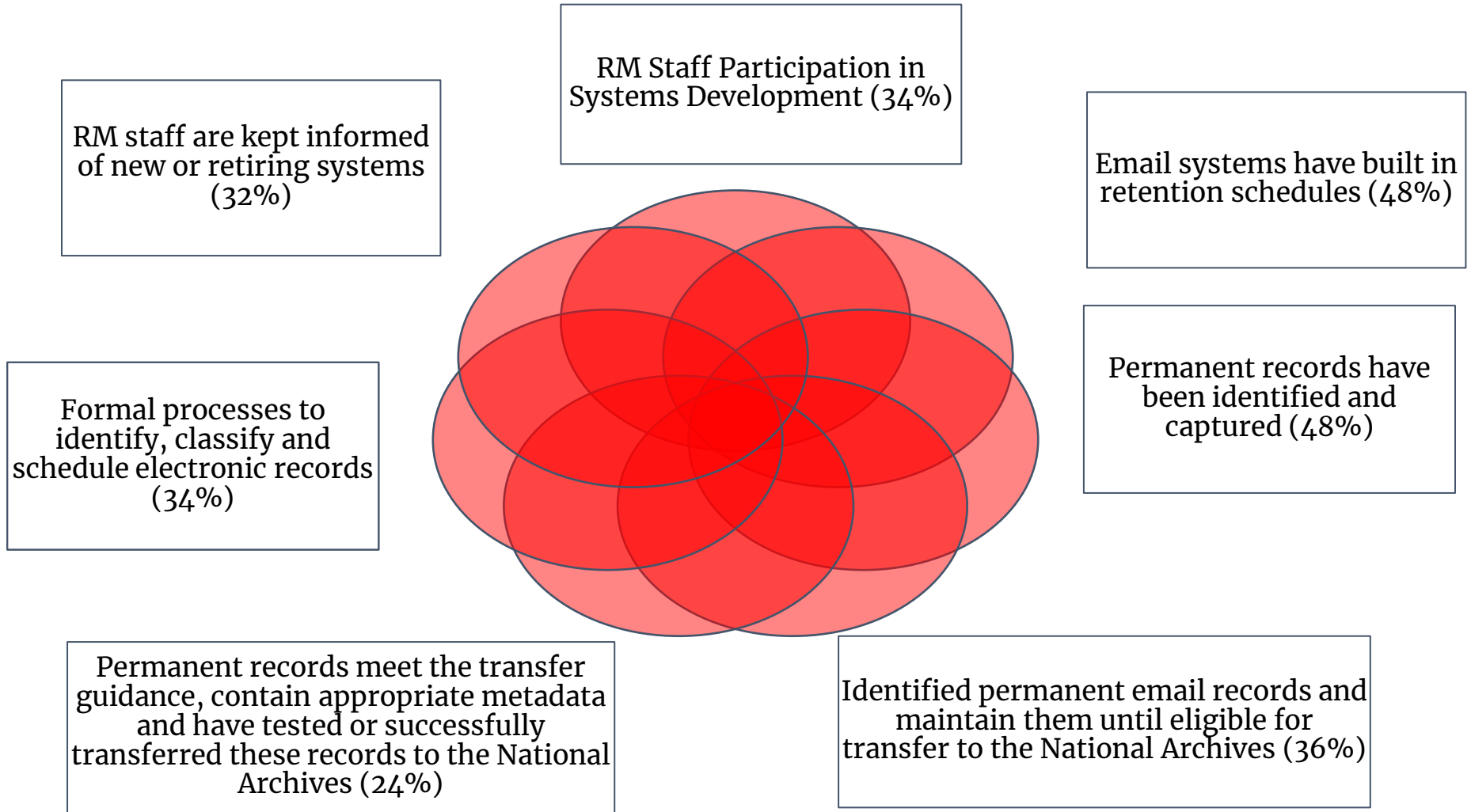


# Maturity Model Risk Levels

## Federal Electronic Records and Email Management Risk Level Comparisons 2019-2021



# Major Weak Points for ERM





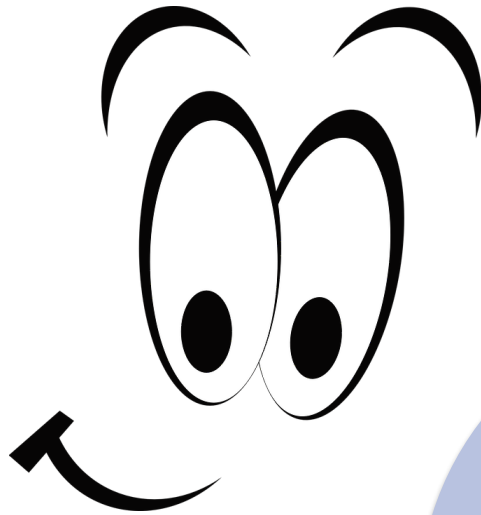
# Where To Find More

- Federal RM Annual Report to Congress  
[archives.gov/records-mgmt/resources/self-assessment.html](https://www.archives.gov/records-mgmt/resources/self-assessment.html)
- SAORM Reports  
[archives.gov/records-mgmt/resources/saorm-reports](https://www.archives.gov/records-mgmt/resources/saorm-reports)
- Maturity Model Data  
[archives.gov/records-mgmt/resources/email-mgmt-reports](https://www.archives.gov/records-mgmt/resources/email-mgmt-reports)



Office of the  
Chief Records  
Officer

# Cycle Begins Again



Preparing  
questionnaires  
and templates  
for 2022 to run  
in 2023

Watch for AC  
Memo  
announcing the  
dates

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



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## **Kirsten Mitchell**

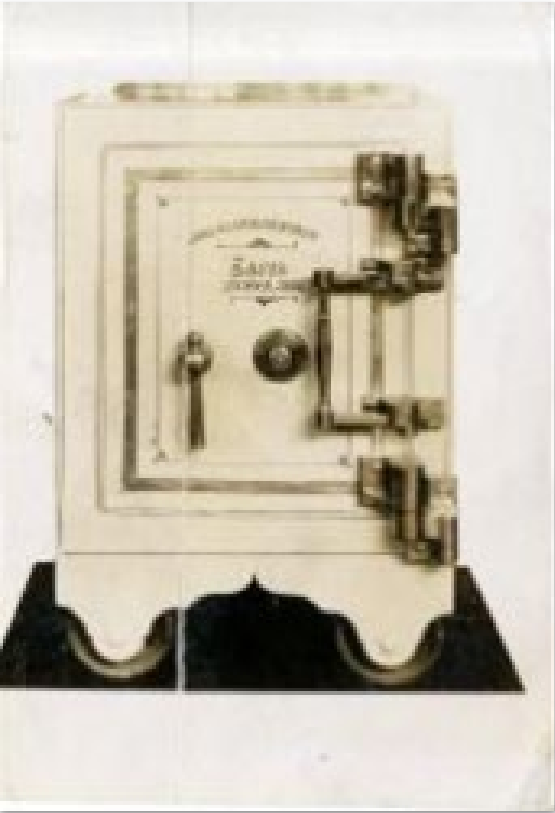
**OGIS Update: RMSA Reporting & FOIA Advisory Committee Update  
Office of Government Information Services**

## Piggyback on RMSA Four FOIA questions:

- COVID-19 effect on FOIA process
- Agency Records Officer & Chief FOIA Officer relationship



NARA Identifier 7140633



## COVID-19 pandemic:

- Majority of agencies reported no disruption
- Those reporting disruption: 78% reported paper records inaccessible due to office closures

NARA Identifier 45641639



## Agency Records Officer and Chief FOIA Officers:

- 4-percentage-point increase in working together on IT requirements
- 6-percentage-point increase in working together to identify programs or offices most likely to have responsive records



NARA Identifier 515550



Of 21 recommendations from 2020–2022 term, four touch on records management:

- FOIA websites
- Native format & metadata
- FOIA & 508 compliance
- First–person FOIA

## Recommendation 2022-07

### FOIA websites:

- Descriptions of records maintained
- Agency records schedules
- “Capstone” email policy, list of Capstone officials & agency email retention policy



NARA Identifier 6519882

## Recommendation 2022-08

Chief FOIA Officers Council  
working group:

- Best practices for release of records in native format with metadata



NARA Identifier  
23003896

## Recommendation 2022- 09

### Chief FOIA Officers Council working group:

- Challenges between  
FOIA & 508  
compliance



NARA Identifier 253144028



NARA Identifier 23379771

## Recommendation 2022-11

### First-person FOIA:

- Make automatically available records for benefits & administrative proceedings without requiring FOIA request



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# General Q&A

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# NEXT MEETING

Tuesday

October 18, 2022

**1:30 pm EST/10:30 am PST**

[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)



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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)