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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)



October 17, 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
- NARA Bulletin 2024-04 Managing Records on Collaboration Platforms
- Digitization Quality Management Guide
- Managing Social Media Records RM Assessment
- Updates on Annual Move



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# Federal Records Centers Program (FRCP) Update

**Jefferson Lunsford**  
Chief Financial Analyst

**Andrea Scherer**  
Account Manager  
Customer Relationship  
Management Branch



- FY24 Unit Rates
- FY24 Interagency Agreements
- Digital Imaging Service Changes
- Continuing Resolution



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# **NARA Bulletin 2024-04 Managing Records on Collaboration Platforms**

**Markus Most**

Senior Electronic Records Policy Analyst  
Records Management Policy and  
Program Support Team



## NARA Bulletin 2024-04 Managing Records on Collaboration Platforms

Published September 29, 2023

<https://www.archives.gov/records-mgmt/bulletins/2023/2023-04>



- NARA and GSA conducted an Interagency Collaboration Applications assessment of agency use of collaboration platforms in FY22
- Continued working with Interagency Collaboration Community of Practice
- Draft Bulletin received roughly 100 comments from over 20 agencies



Enumeration, a Farmer Supplies Answers to the 232 Questions on the Farm Schedule.  
[NARA ID 6200778](#)

# What's in the Bulletin?

Yes, agency employees create federal records when they conduct agency business using collaborative platforms.



[NAID: 6441492](#) JO3 Cyndi Reilly Naval Air Station, Lemoore, Calif....AIRMAN Ora Howard, plane captain, performs a routine maintenance inspection on an A-7 Corsair II aircraft.

# What's in the Bulletin?



[NAID: 117700127](#) Historical Slides [2/2]

- Do agencies need to records all video conferences?
- What are my responsibilities if I provide a collaboration platform for other agencies?
- What are my responsibilities if I use someone else's collaboration platform?



# What's in the Bulletin?

Clarify the distinction between the management of electronic messages like MS Teams chat using Capstone versus MS Teams channels using traditional records management

- **NARA Bulletin 2023-02: Expanding the Use of a Role-Based Approach (Capstone) for Electronic Messages**  
<https://www.archives.gov/records-mgmt/bulletins/2023/2023-02>
- **GRS 6.1 Email Managed Under a Capstone Approach**  
<https://www.archives.gov/files/records-mgmt/grs/grs06-1.pdf>
- **GRS 6.1 FAQ Question 11 contains a non-exhaustive list of examples included or excluded from the GRS**  
<https://www.archives.gov/records-mgmt/grs/grs06-1-faqs.html>



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# Digitization Quality Management Guide

**Lisa Haralampus**

Director

Records Management Policy and  
Outreach

**Michael Horsley**

Electronic Records Policy Analyst

Records Management Policy and  
Standards Team



**Nov 2014: Federal Records Act (FRA) Amendments**

**Feb 2018: NARA Strategic Plan**

**Jun 2019: OMB Memo M-19-21**

**Dec 2022: OMB Memo M-23-07**

“The Archivist shall promulgate regulations requiring all Federal agencies to transfer all digital or electronic records to the National Archives of the United States in digital or electronic form to the greatest extent possible.” (FRA 2014)

“The Archivist shall promulgate regulations establishing . . . standards for the reproduction of records by photographic, microphotographic, or digital processes with a view to the disposal of the original records.” (FRA 2014)

“No later than June 30, 2024, NARA will issue updated regulations and guidance to provide clear standards for fully electronic recordkeeping. NARA will also issue regulations and clear policies that permit agencies to digitize permanent records created in analog formats and, where appropriate, dispose of analog originals.” (M-23-07)



# 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





## Digital Quality Management Guide

Published October 6, 2023

<https://www.archives.gov/files/records-mgmt/policy/digitization-quality-mgmt-guide.pdf>

## What Is Quality Management?

- Quality management (QM) is the overall management function and underlying activities that determine quality
- Quality assurance (QA) is a proactive quality management (QM) activity focused on preventing defects by ensuring that a particular product or service achieves certain requirements or specifications.
- A QA program is heavily dependent on quality control (QC) data to search for patterns and trends.



# Quality Management: Plans and Documentation

- A quality management plan should define the work activities relating to the digitization of source records, and outline a generic sequence of high-level planning and management activities
- A quality management plan should define the work activities relating to the digitization of source records, and outline a generic sequence of high-level planning and management activities
- The quality management plan must include the policies, functions, roles, responsibilities, requirements, and objectives of the project



# Quality Assurance: Specifications and Standards

- The quality assurance component of a quality management program includes the mandatory requirements, specifications, and standards that a digitization project must meet.
- The major components of a digitization product are image quality, metadata quality, records management quality, and file format compliance.
- QA focuses on the processes used to create project deliverables to ensure that products conform to the standards and specifications

# Why do we need standards?



Color and White)

Grayscale

Bi-tonal (Black

General Order #3 (Juneteenth) NAID: 182778372

- Accurately capture information in the source record (color, tone, resolution, legibility, free from defects)
- Provides objective, repeatable, and measurable requirements
- Creates a common technical framework for capture, quality management, and preservation
- Ensures that the digital record can serve the same purpose as the original




# Quality Control: Testing and Analysis

- The purpose of Quality Control (QC) is to find and eliminate sources of quality non-conformities using tools and equipment to ensure the customer's expectations for the quality of the project deliverables are systematically and continually met.
- QC activities or techniques are used to achieve and maintain product quality, process, and service.
- perform QC testing and analysis to identify malfunctioning or improperly configured digitization equipment, improper software application settings, incorrect metadata capture, or human error, and take corrective actions.

# Compliant Image Analysis Workflow

**1**

**Choose Target**



**2**

**Select Project**

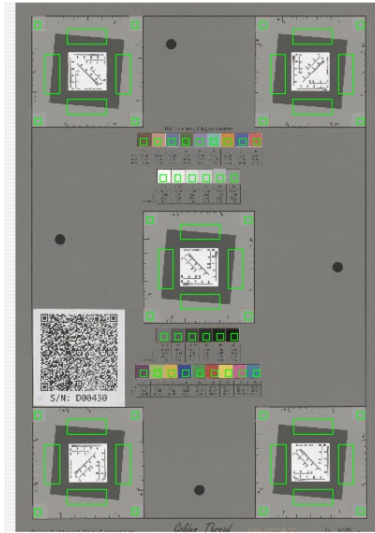
Project: NARA\_spec

Display Project Info

---

Advanced Project Functions:

Identify scanned target



Verify regions of metrics

Summary QR:D00430 Adobe RGB 1998\*

Show Details? Colorimetric Generate Color Profile

Measurement	4	9	2	1	F	Pass Fail	Lower Limit	Value	Upper Limit
Lightness	92% <b>*****</b>								2%
Delta E(a*b*)	83% <b>*****</b>							17% <b>*****</b>	
Patch No. 10						*****	0.0	1.6	2.0
Patch No. 11						*****	0.0	1.5	2.0
Patch No. 12						*****	0.0	1.5	2.0
Patch No. 13						*****	0.0	1.3	2.0
Patch No. 14						*****	0.0	0.8	2.0
Patch No. 15						*****	0.0	0.9	2.0
Patch No. 16						*****	0.0	0.9	2.0
Patch No. 17						*****	0.0	0.4	2.0
Patch No. 18						*****	0.0	0.4	2.0
Patch No. 19						*****	0.0	1.0	2.0
Patch No. 20						***	0.0	2.1	4.0
Patch No. 21						***	0.0	3.6	4.0
Uniformity	100% <b>*****</b>								
Color - Delta E 2000	67% <b>*****</b>							33% <b>*****</b>	
Color - Registration	100% <b>*****</b>								
Sampling Frequency	100% <b>*****</b>								
Sampling Efficiency & Nyquist	95% <b>*****</b>							5%	
50% SFR	100% <b>*****</b>								

Analyze and report

# Image quality and dispelling the myth of dpi

- Human vision varies by individual, is inaccurate, subjective
- Image quality is a product of several image performance factors
- Optical performance, tone reproduction, color fidelity, resolution, and image processing all combine to determine quality
- Resolution: “the ability of an imaging system to resolve detail in the object that is being imaged”
- It is not measured by “dpi”
- Measured by MTF/SFR analysis

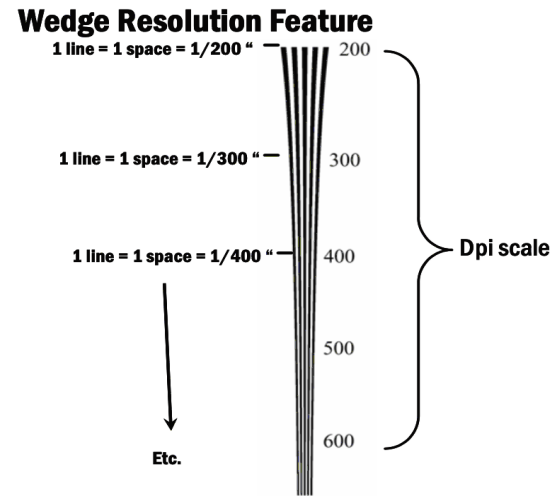
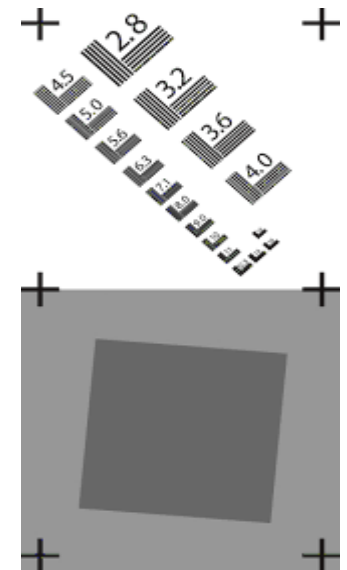


Fig. 4.1 - Wedge Resolution Feature

dpi “flute” target  
 subjective human  
 interpretation

line pair subjective  
 human interpretation



slant edge target  
 objective machine  
 sfr/mtf analysis





# Quality Control: Inspection

- Inspection is the process of measuring, examining, testing, or otherwise comparing the product with the requirements.
- The inspection process incorporates sampling techniques to identify the percentage of errors that occur.
- Any deviations from the specifications must be corrected before the files may be accepted.
- The digital versions must be compared to source records and verified that they meet the standards in the regulation.
- The inspection process uses objective measurements, as well as subjective methods to ensure quality.

"Are you building the right thing?"

**Validation** is the records management process at the end of the process where agencies affirm that their digital records are complete, accurate, comply with the standards in the regulations, and can be used for the same business purposes as the source records.

"Are you building it right?"

**Verification** is the final step in the QM process that checks to ensure that the products were created according to the specifications.

# Digitization of Federal Records

Federal agencies are moving toward an electronic government. A digitization program will be part of many agencies' efforts to transition towards fully electronic government. This webpage is a resource for agencies that provides quick access to digitization resources.

Contact [rmstandards@nara.gov](mailto:rmstandards@nara.gov) with any questions about this page and NARA's digitization guidance.

## Digitizing Temporary Records

[36 CFR 1236 Subpart D, Regulations on Digitizing Temporary Records](#)

[Digitizing Temporary Records FAQ](#)

## Digitizing Permanent Records

[36 CFR 1236 Subpart E, Regulations for Digitizing Permanent Records](#)

## Digitization Guidance

[General Records Schedule 4.5: Digitizing Records](#)

[General Records Schedule 4.5 FAQ](#)

## Digitization Resources

[Digitization Quality Management Guide](#)

[FADGI 2022 Guidelines](#)

[OpenDICE](#)

## Transfer of Electronic Records

[36 CFR 1236 Subpart F, Transfer Metadata Format Table](#)

[Accessioning Guidance and Policy](#)

[Finding Aid Requirements](#)

[Electronic Records Accessioning Support Tools](#)

## Digitization Services

[NARA's Federal Records Centers Digitization Services](#)

[GSA's Document Conversion Services Special Item Number \(SIN\)](#)

## Federal Records Management Council Resources

Digitization Cost Estimate Tools (2019):

- [FRMC Digitization Cost Benefit Analysis White Paper](#)
- [FRMC Sample Digitization Pricing](#)
- [FRMC Sample Digitization Formula](#)
- [FRMC Digitization Services Sample Pricing Table](#)

## NARA Communications on Digitization

June 7, 2023 Webinar on Digitizing Permanent Records:

- [Recording](#)
- [Transcription](#)
- [Presentation Slides](#)

[Records Express Posts on Digitization Regulations](#)



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# **Managing Social Media Records: Records Management Assessment Report**

Andréa Noel  
Senior Records Analyst  
Records Management Oversight and Reporting Program



## Managing Social Media Records: Records Management Assessment Report

Published September 2023

<https://www.archives.gov/files/records-mgmt/resources/social-media-assessment-report-final.pdf>



# Managing Social Media Records

**Objectives:** Identify the social media (SM) platforms in active use, how agencies use SM, how SM records are captured and managed, and assess agency compliance with [NARA Bulletin 2014-02: Guidance on Managing Social Media Records](#)

## Participating agencies:

1. Public Affairs Office for the Secretary of Defense
2. Department of Education
3. Centers for Disease Control
4. Department of Homeland Security
5. United States Geological Survey
6. Library of Congress
7. National Aeronautics and Space Administration
8. National Archives and Records Administration
9. National Endowments for the Arts
10. Small Business Administration



# Managing Social Media Records

**Methodology:** Pre-assessment questionnaire, advanced documentation, interviews with relevant agency stakeholders and interviews with five third-party applications agencies used to disseminate, capture and manage SM content or records.

## Common Findings

- Lack of, ambiguous, or inconsistent criteria used to define SM records
- Inability to redress RM policies and practices when SM usage or functions change
- Lack or misapplication of agency-specific and general records schedules
- RM programs lack resources to adequately and efficiently manage SM records
- Poor coordination between the RM program and programs tasked with leading SM activities
- Unverified feasibility of SM platform export functions and other SM related applications that capture and manage SM records
- Undefined RM roles and insufficient “how-to” RM training for SM personnel
- Lack of senior-level support to adhere to RM guidance outlined in NARA’s SM Bulletin





# Managing Social Media Records

## All federal agencies should:

- (Re)evaluate how SM is used and what types of SM content is being created, measure compliance with NARA's SM Bulletin and incorporate all applicable recommendations from the report to improve SM RM
- Establish consistent methodologies for identifying SM records among the various types of SM content and informing staff how and where SM records are preserved and managed
- Dedicate more resources toward IT solutions that automate the capture and management of SM records

**Appendix E** of the report provide links to different resources that speak to successful management of SM/electronic records

**Appendix F** is a list of electronic message, SM, and website data capture tools/applications



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# Updates on Annual Move

**Derek Kennedy**  
Archives Specialist  
Permanent Records Capture Team



# 2024 Annual Move Statistics

- On October 3rd, NARA successfully loaded 5,129 of the 2024 candidate transfers in ERA 2.0 for agency review and submission.
- Covers 73,988 cubic feet of permanent records from 131 agencies
- Due to form migration issues some authorities did not migrate properly in the preceding months and as a result 805 transfers from 51 agencies did not successfully load.
- January 1, 2024 is the deadline for Transfer Requests to be proposed by agencies.



# 2024 Annual Move Tips

- Annual Move Job Aid
- ERA 2.0 automatically routes Draft Transfer Requests to the Approving Official
- Annual Move Transfer Requests are displayed on the Dashboard either in the My Tasks tab or Unassigned Tasks tab
- To reassign a Transfer Request to a Transferring Official or another Approving Official, use the Reassign function
- To search for Annual Move Transfer Requests, use Advanced Search
- For example, User: 2024 Annual Move



# 2024 Annual Move Useful Links

- ERA 2.0 Training Materials <https://www.archives.gov/era/training>
- Accessioning Guidance and Policy <https://www.archives.gov/records-mgmt/accessioning>
- Annual Move of Permanent Records <https://www.archives.gov/records-mgmt/accessioning/annual-move-2022>
- Classified Permanent Records Training and Resources <https://www.archives.gov/records-mgmt/accessioning/annual-move-2022-0>
- Annual Move Job Aid <https://www.archives.gov/files/era-ftja-007-era-2.0-propose-a-transfer-request-annual-move.pdf>



# General Q&A

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# **NEXT MEETING**

**Tuesday**

**December 12, 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

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