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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

# BRIDG

## Bi-Monthly Records and Information Discussion Group

To Ask Questions

Chat via YouTube

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October 19, 2021



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**Welcome**  
**Gordon Everett**  
**Director**  
**Federal Records Centers Program**

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



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# FRCP Updates

**Gordon Everett**

Director

Federal Records Centers Program



## 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

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# 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 1<sup>st</sup> 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

Agencies

System

with ERA

Managers

Information

Committee on the


Records Archives

Records

Management

the National

## Electronic Records Archives (ERA)



**Log On to ERA**  
**ERA Help Desk:**  
 6 a.m. to 8 p.m. EST  
 1-877-372-9594  
[ERAHelp@nara.gov](mailto:ERAHelp@nara.gov)

**Log On to Ingest Server**

(Electronic Transfer Staff role access only)

The Electronic Records Archives (ERA) program allows Federal agencies to perform critical records management transactions with the National Archives and Records Administration (NARA) online. Agency records management staff use ERA to draft new records retention schedules for records, officially submit those proposed schedules to NARA for approval, and request the transfer of permanent records in all formats and media to NARA through the Annual Move or by direct offer.


### I Want to Know More About ...


- What is ERA?
- Getting Started with ERA
- ERA Online Training
- Adding Legacy Schedules to ERA
- About the ERA 2.0 Project

### ERA Annual Move

- Annual Move Defined
- Annual Move Agency Timeline
- Agency's Guide to Candidate Lists
- Reviewing Transfer Requests in ERA for the Annual Move
- For additional assistance

### ERA Resources

- [Agency User Manual](#)   
*(Updated September 2013)*
- ERA Bootcamp Video
- ERA FAQs
- ERA Account Request Form

PDF files require the free Adobe Reader. 



# References (further info)

- ERA User Guide  
<https://www.archives.gov/records-mgmt/era>
- [Annual.Move@nara.gov](mailto:Annual.Move@nara.gov)
- [ERAhelp@nara.gov](mailto:ERAhelp@nara.gov) / [877-372-9594](tel:877-372-9594)



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# Federal Agency Records Management Annual Reporting

**Don Rosen  
and  
Cindy Smolovik**

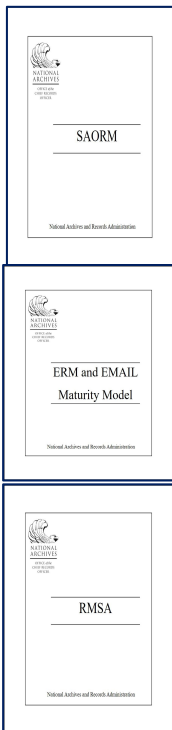
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# Federal Agency Records Management Reports 2020

**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.

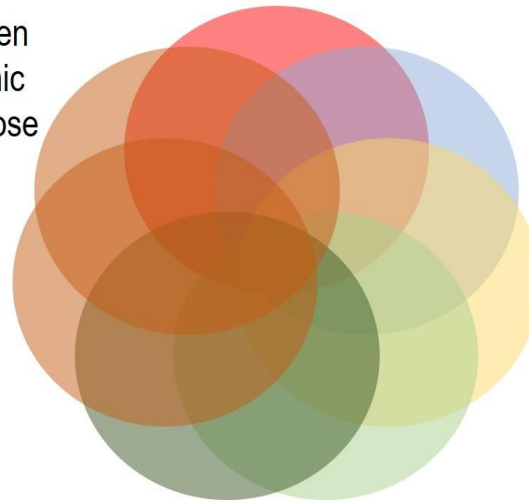
# Key Observations

## 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.

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

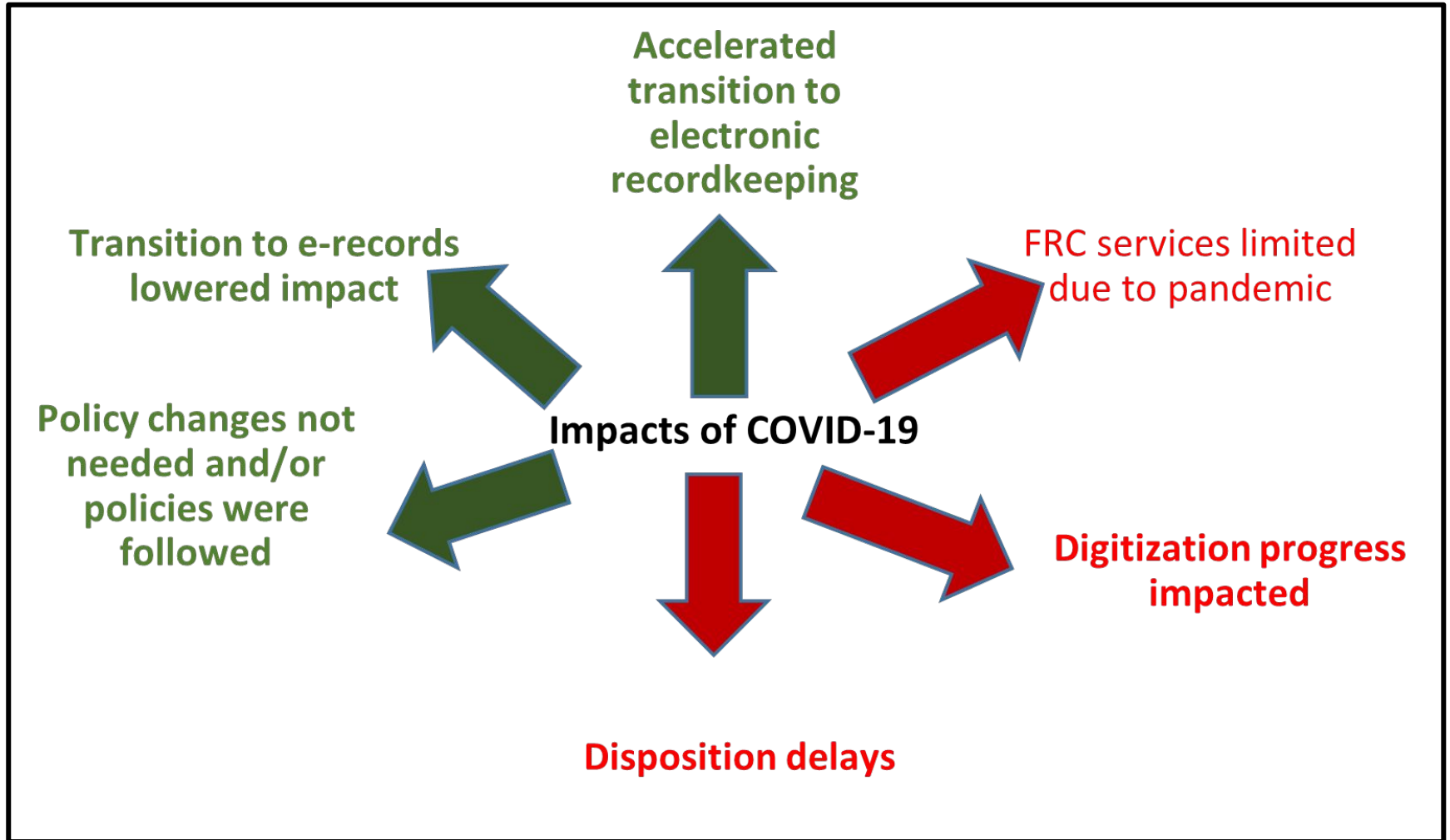


COVID-19 highlighted the need for electronic recordkeeping, and in some cases accelerated the transition

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

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.

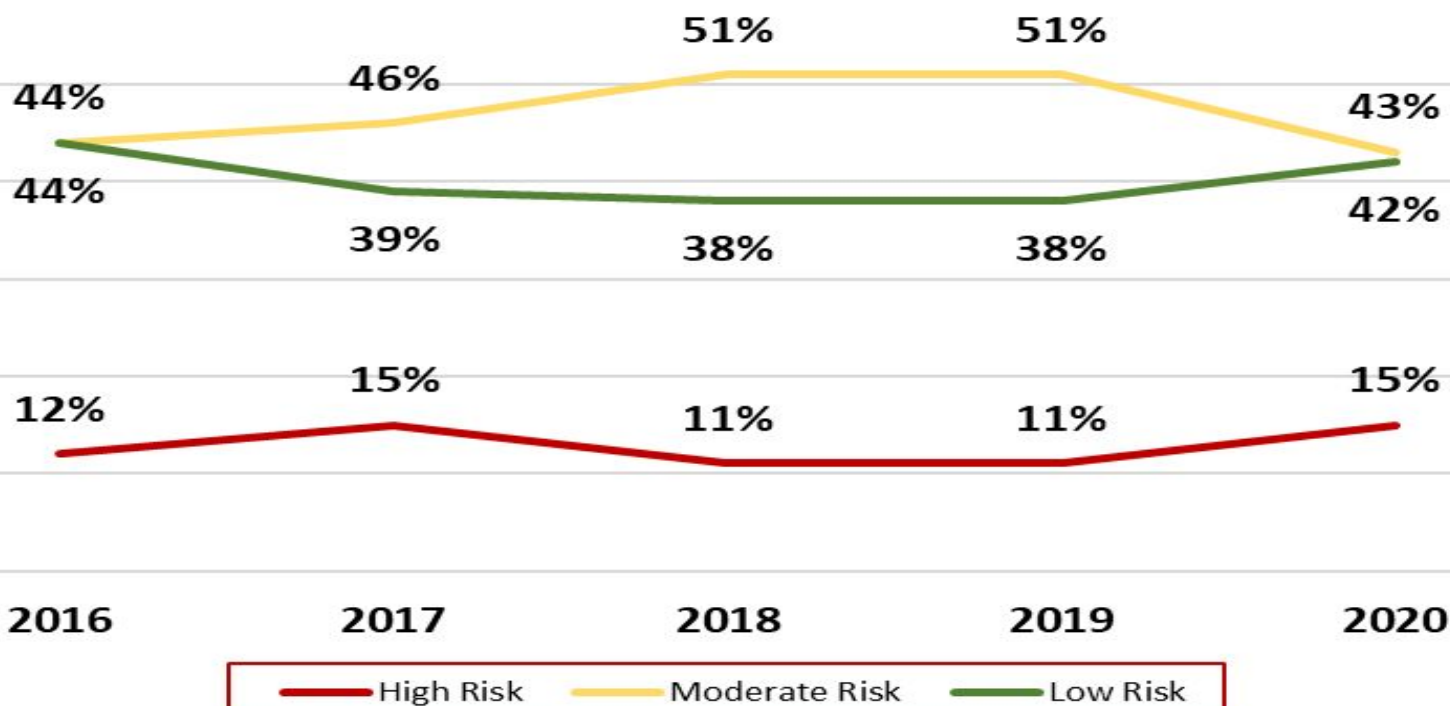
# Impacts of COVID-19





# Records Management Self-Assessment 2020

## Records Management Self-Assessment Risk Level Comparison 2016-2020

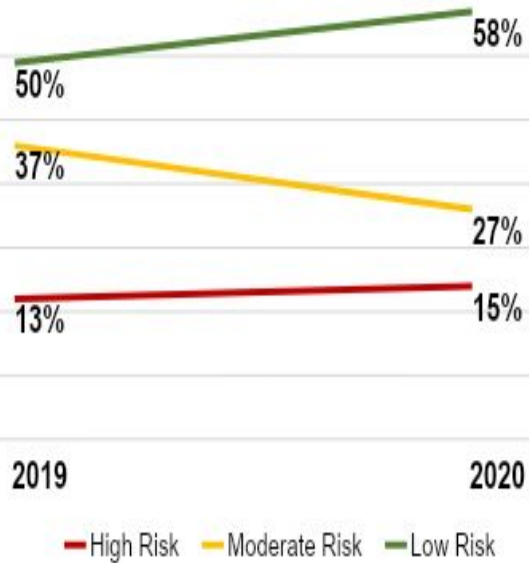




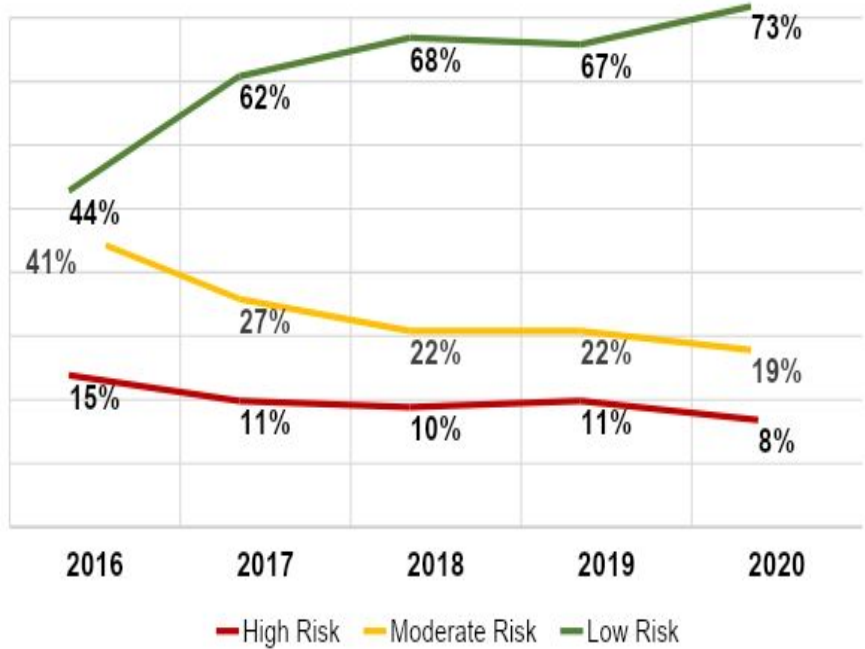


# Federal Electronic Records and Email Management Reports 2020

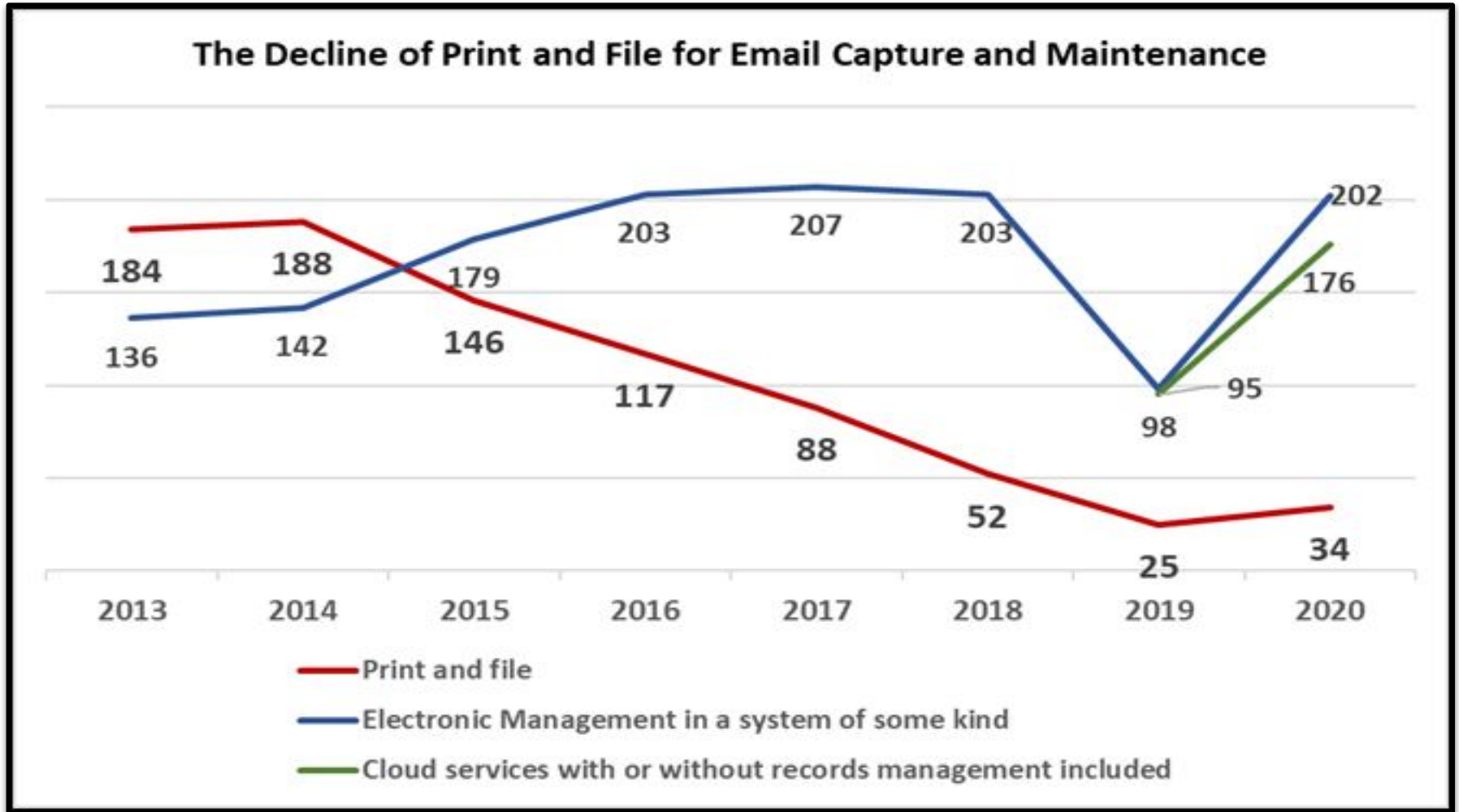
### Federal Electronic Records Management Maturity Model Risk Level Comparison 2019-2020



### Federal Email Management Maturity Model Risk Level Comparison 2016-2020



# 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? [rmsselfassessment@nara.gov](mailto:rmsselfassessment@nara.gov)



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# OGIS Reporting Update

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



# 2020 RMSA Survey

## **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



**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.



## **RMSA responses focused on four themes:**

- Access Issues
- Communication
- Process
- Technology

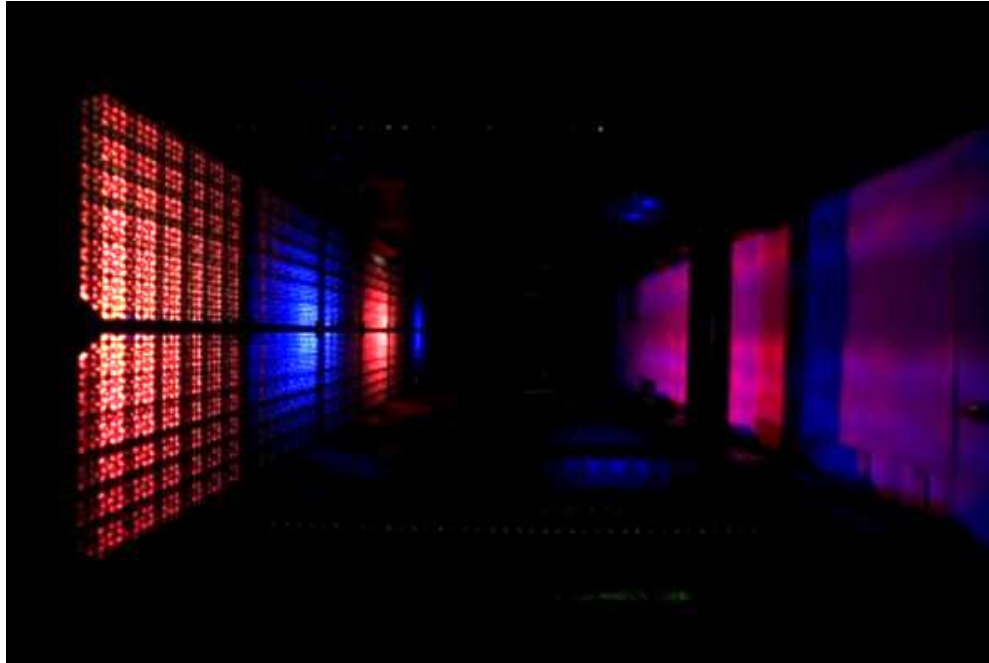


# FOIA Program Response to COVID-19's

- 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







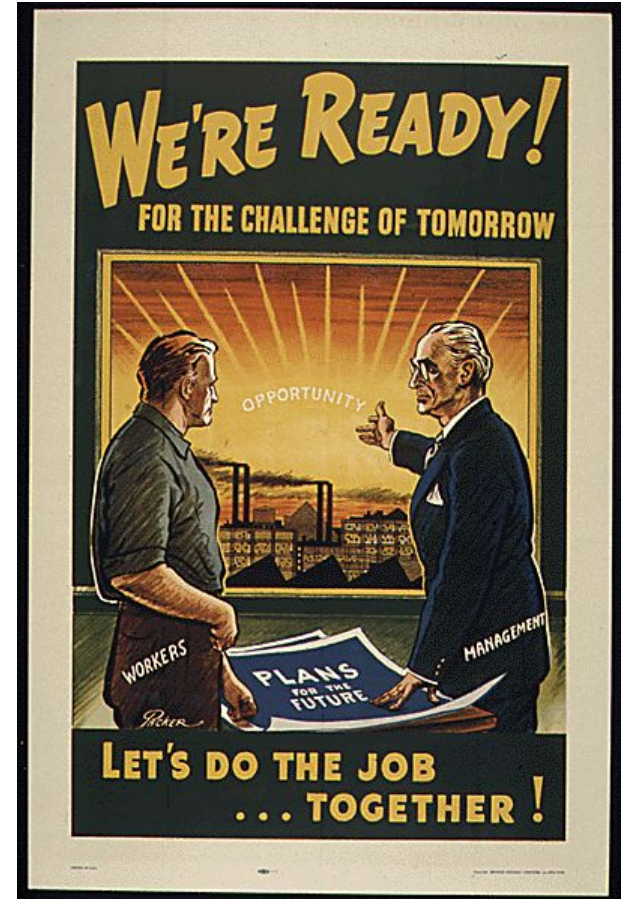
# E-Discovery & FOIA

- 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.

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.



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**archives.gov/ogis**  
**foia.blogs.archives.gov**  
**@FOIA\_Ombuds**

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**OGIS@nara.gov**  
**kirsten.mitchell@nara.gov**  
**christa.lemelin@nara.gov**



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

Bi-Monthly Records and Information Discussion Group

<https://www.archives.gov/records-mgmt/meetings/index.html>





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# Technical Difficulties Please Stand by

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