National Archives and Records Administration
September 26, 2017

Federal Audit Executive Council
Annual Conference

Laurence Brewer – Chief Records Officer for the U.S. Government
Donald Rosen – Director, Records Management Oversight and Reporting
Modernizing Records Management

- Presidential Memorandum
- Managing Government Records Directive
- NARA Draft Strategic Plan
Modernization Goals

1. Require electronic recordkeeping to ensure transparency, efficiency, and accountability

2. Demonstrate compliance with Federal records management statutes and regulations
Transformational Targets

By **2016**, agencies manage all email in an accessible, electronic format

By **2019**, agencies manage all permanent electronic records in electronic formats

The Directive required NARA to take action on 18 other targets, most completed by 2016
Draft Strategic Plan

• Four Strategic Goals
  – Make Access Happen
  – Connect with Customers
  – Maximize NARA’s Value to the Nation
  – Build Our Future Through Our People

• By FY 2020, NARA will have *policies and processes* in place to support Federal agencies’ transition to fully electronic recordkeeping.

• By December 31, 2022, NARA will, to the fullest extent possible, *no longer accept transfers of permanent or temporary records in analog formats* and will accept records only in electronic format and with appropriate metadata.

• By FY 2019, NARA will conduct *inspections of records management practices* at 10 percent of Federal agencies per year, to ensure that Federal email and other permanent electronic records are being managed in an electronic format.
Current and Future Priorities

• 2019 Success Criteria

• ERM Requirements, FIBF and Use Cases, GSA Schedule 36

• Web Guidance Refresh

• Digitization and Metadata Guidance

• Advocacy, Outreach, and SAORM Engagement
SAORM Engagement

- Leadership of SAORMs is critical to success
- SAORM post-transition emails and meetings
- NARA Bulletin defines roles, responsibilities, and expectations
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Records Management Oversight and Reporting Program

Records Management Oversight and Reporting Program, under the Office of the Chief Records Officer for the U.S. Government, is responsible for monitoring compliance with records management regulations and implementation of NARA policies, guidance and other records management best practices by federal agencies. We do this by a combination of inspections, records management program reviews, surveys and assessments, and annual reporting.

See the links below for the different types of records management reports published by the Records Management Oversight and Reporting Program:

- Records Management Inspection Reports
- Records Management Self-Assessment (RMSA) Reports
- Senior Agency Officials for Records Management (SAORM) Reports
- Federal Email Management Reports

In addition, the Records Management Oversight and Reporting Program is responsible for handling all cases of unauthorized disposition. For more information or to report a case of unauthorized disposition, please contact us via email at unauthorizeddisposition@nara.gov.

http://www.archives.gov/records-mgmt/resources/inspections.html
https://www.archives.gov/records-mgmt/resources/rm-inspections
Agency Inspections

• Purpose
  – Based on 36 CFR 1239, Part of NARA’s regulatory oversight role
  – Identify challenges and recommend solutions
  – Monitor improvements and progress

• Do agencies have
  – Policies, directives, SOPs, training programs, evaluation of records programs,
  – Records management awareness and outreach

• Records Program and Schedule implementation
  – Access and retrieval, Storage areas and issues with records centers
  – Retained records, Do unscheduled records exist

• Relationship with IT
  – Information Resources Management Plans – is records management included?
  – Systems Development Life Cycle – how well is (or if) records management embedded in the process

• Electronic Records Management (including email), M-12-18 goals status
Authorities

• 44 United States Code (U.S.C.) 2904(c)(7) and 2906 to inspect records management programs and practices of Federal agencies

  – 2904(c)(7) ...the Archivist shall have the responsibility...to conduct inspections or surveys of the records and the records management programs and practices within and between Federal agencies...

  – 2906(a)(1) ...the Archivist (or designee) may inspect the records or the records management practices and programs of any Federal agency solely for the purpose of rendering recommendations for the improvement of records management practices and programs...
Inspection Processes

- Inspection Preparation
- Review documents from Target Agency
- Conduct Site Visits and Telecons
- Communications with Target Agency
- Report
Plans of Corrective Action

Agencies are required to create a plan in response to inspection findings and recommendations.

We track progress through semi-annual reports and follow up site visits as travel allows.

Compliance Achievement Reporting System (CARS)
Unauthorized Disposition

• What is unauthorized disposition?
  – Unlawful or accidental removal, defacing, alteration, or destruction of records

• Why are we required to report this to NARA
  – CFR: Title 36, Chapter XII, Subchapter B, Part 1230

• How to Notify NARA of Allegations
  – Verbally and in writing

• Where should correspondence be sent?
  Office of the Chief Records Officer
  National Archives and Records Administration
  8601 Adelphi Road, Suite 2100
  College Park, Maryland 20740
Agency Reporting

Agency records officers provide an evaluation of their individual agency’s compliance with Federal records management statutes, regulations and program functions. Oldest of our reporting tools, required since 2010.

Agency records officers assessed their individual agency’s email management using a maturity model template. This is the newest of our reporting tools, first used 2016.

Responses from high-level officials about progress towards MGRD targets and requirements and other strategic topics. First required in 2013.
Using Results

NARA
- Gather information
- Identify trends
- Provide feedback

Agencies
- Determine weaknesses
- Manage limited resources
- Measure effectiveness
Agency Individual Reports for 2016
Senior Agency Official Reports 2016

<table>
<thead>
<tr>
<th>Quarter</th>
<th>Category</th>
<th>Yes</th>
<th>No</th>
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<tbody>
<tr>
<td>Q2</td>
<td>Email Management</td>
<td>79%</td>
<td>21%</td>
</tr>
<tr>
<td>Q3</td>
<td>Records Scheduling</td>
<td>66%</td>
<td>34%</td>
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<tr>
<td>Q4</td>
<td>Permanent E-Records</td>
<td>98%</td>
<td>2%</td>
</tr>
<tr>
<td>Q5</td>
<td>Digitization</td>
<td>82%</td>
<td>18%</td>
</tr>
<tr>
<td>Q6</td>
<td>Information Resource</td>
<td>93%</td>
<td>7%</td>
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</tbody>
</table>

Yes
No
Records Management Self-Assessment (RMSA)

Each year, all Federal agencies are required to conduct a Records Management Self-Assessment (RMSA) and submit the findings to NARA. The goal of the self-assessments is to determine whether Federal agencies are compliant with statutory and regulatory records management requirements.

NARA is committed to continuing to work with Federal agencies to strengthen their records management programs so these scores improve. We look forward to working with Congress, OMB, and the Federal agencies to improve records management performance across the Federal Government.

- **2015 Final Report**

Previous Records Management Self-Assessment Reports

- **2014 Final Report**
- **2013 Final Report**
- **2012 Final Report**
- **2011 Final Report**
- **2010 Final Report**
- **2009 Final Report**
RMSA RISK LEVEL COMPARISON
2012 - 2016

<table>
<thead>
<tr>
<th>Year</th>
<th>High Risk</th>
<th>Moderate Risk</th>
<th>Low Risk</th>
</tr>
</thead>
<tbody>
<tr>
<td>2012</td>
<td>44%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2013</td>
<td>29%</td>
<td>43%</td>
<td></td>
</tr>
<tr>
<td>2014</td>
<td>20%</td>
<td>34%</td>
<td></td>
</tr>
<tr>
<td>2015</td>
<td>17%</td>
<td>36%</td>
<td></td>
</tr>
<tr>
<td>2016</td>
<td>12%</td>
<td>45%</td>
<td>43%</td>
</tr>
</tbody>
</table>

Legend:
- Red: High Risk
- Yellow: Moderate Risk
- Green: Low Risk
Maturity Model Domains and Levels Achieved Most Often

- Email Policies - Level 3: 48%
- Email Systems - Level 3: 42%
- Email Access - Level 3: 34%
- Email Disposition - Level 2: 41%
# RIM Maturity Model – choose the level that fits best

<table>
<thead>
<tr>
<th>Statement</th>
<th>2-3: Risk Management</th>
</tr>
</thead>
<tbody>
<tr>
<td>(a) Agency/component identifies and analyzes internal and external risk to agency/component records and information. (b) Agency/component determines who is best to manage or mitigate the risk and what specific actions should be taken. (c) Agency/component monitors the implementation of actions to management or mitigate risk.</td>
<td></td>
</tr>
</tbody>
</table>

| Level 0 | (a) Little/no risk analysis; reactive and manual processes (b) High level of exposure to risk during litigation and/or interactions with regulatory bodies |
| Level 1 | (a) Some RIM functions have been informally developed to identify, address, and manage risk (b) Little/no RIM risk analysis infrastructure (c) Risk mitigation processes are mostly manual (d) Limited standardization of risk management across the agency/component (e) High level of exposure to risk during litigation and/or interactions with regulatory bodies |
| Level 2 | (a) RIM functions are defined to identify and address risk mitigation needs (b) RIM risk analysis is conducted at the agency/component level (c) Initial efforts at standardized measurement and reporting (d) Disparate automation with limited standardization of processes (e) More unified and active approach to mitigating exposure to risk |
| Level 3 | (a) RIM functions are fully implemented to identify, address, manage, measure, and reduce risks (b) RIM risk analysis is conducted at the agency/component level (c) Consolidated systems with higher level of standardization of processes facilitate a proactive approach that further reduces exposure to risk |
| Level 4 | (a) RIM functions are integrated into agency/component strategy and business/mission practices to increase compliance levels maximizing resources for increased efficiencies (b) Agency/component RIM systems with embedded management functions facilitate optimal management of exposure to risk |

**Notes:**

Assessment:

| Level 1 - Developing | 1 |
## Summary Results

### Maturity Summary

#### Domain 1: Management Support and Organizational Structure

<table>
<thead>
<tr>
<th>Statement</th>
<th>Level</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-1: Strategic Planning</td>
<td>Level 3 - Engaged</td>
<td>3.0</td>
</tr>
<tr>
<td>1-2: Leadership and Management</td>
<td>Level 2 - Functioning</td>
<td>2.0</td>
</tr>
<tr>
<td>1-3: Resources</td>
<td>Level 2 - Functioning</td>
<td>2.0</td>
</tr>
<tr>
<td>1-4: Awareness</td>
<td>Level 1 - Developing</td>
<td>1.0</td>
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</table>

**Domain 1 Maturity Score:** 2.0

#### Domain 2: Policy, Standards, and Governance

<table>
<thead>
<tr>
<th>Statement</th>
<th>Level</th>
<th>Score</th>
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</thead>
<tbody>
<tr>
<td>2-1: Policy, Standards, and Governance Framework</td>
<td>Level 2 - Functioning</td>
<td>2.0</td>
</tr>
<tr>
<td>2-2: Compliance Monitoring</td>
<td>Level 0 - Absent</td>
<td>0.0</td>
</tr>
<tr>
<td>2-3: Risk Management</td>
<td>Level 1 - Developing</td>
<td>1.0</td>
</tr>
<tr>
<td>2-4: Communications</td>
<td>Level 2 - Functioning</td>
<td>2.0</td>
</tr>
<tr>
<td>2-5: Internal Controls</td>
<td>Level 1 - Developing</td>
<td>1.0</td>
</tr>
</tbody>
</table>

**Domain 2 Maturity Score:** 1.2

#### Domain 3: RIM Program Operations

<table>
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<tr>
<th>Statement</th>
<th>Level</th>
<th>Score</th>
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<tbody>
<tr>
<td>3-1: Lifecycle Management</td>
<td>Level 3 - Engaged</td>
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<tr>
<td>3-2: Retrieval and Accessibility</td>
<td>Level 4 - Embedded</td>
<td>4.0</td>
</tr>
<tr>
<td>3-3: Integration</td>
<td>Level 2 - Functioning</td>
<td>2.0</td>
</tr>
<tr>
<td>3-4: Security and Protection</td>
<td>Level 3 - Engaged</td>
<td>3.0</td>
</tr>
<tr>
<td>3-5: Training</td>
<td>Level 0 - Absent</td>
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</tr>
</tbody>
</table>

**Domain 3 Maturity Score:** 2.4

**Composite Maturity Score:** 1.9
More Information

Follow Records Express at
http://records-express.blogs.archives.gov/

NARA Records Management webpage
http://www.archives.gov/records-mgmt/

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