



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](#)



HOME - BRIEFING ROOM - PRESIDENTIAL ACTIONS - PRESIDENTIAL MEMORANDA

Briefing Room

Your Weekly Address

Speeches & Remarks

Press Briefings

Statements & Releases

White House Schedule

Presidential Actions

Executive Orders

The White House
Office of the Press Secretary

For Immediate Release November 28, 2011

Presidential Memorandum -- Managing Government Records

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND

EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
WASHINGTON, D.C. 20408

August 24, 2012

M-12-18

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND
AGENCIES AND INDEPENDENT AGENCIES

FROM: Jeffrey D. Zients *Jeffrey D. Zients*
Acting Director
Office of Management and Budget

David S. Ferriero *David S. Ferriero*
Archivist of the United States
National Archives and Records Administration

SUBJECT: Managing Government Records Directive

On November 28, 2011, President Obama signed the [Presidential Memorandum – Managing Government Records](#). This memorandum marked the beginning of an Executive Branch-wide effort to reform records management policies and practices and to develop a 21st-century framework for the management of Government records. The expected benefits of this effort include:

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



National Archives and Records Administration

September 26, 2017

Federal Audit Executive Council Annual Conference

Donald Rosen – Director, Records Management Oversight and Reporting



Records Managers

Home > National Archives Records Management Information Page > More Records Management Resources > Records Management Oversight and Reporting Program

Records Management Resources

- E-mail Management
- Records Management FAQs
- Memorandums to Agency Records Officers
- Federal Records Centers (FRC)
- Guidance and Policy for Accessioning
- Electronic Records Management (ERM)
- Toolkit for Managing Electronic Records
- Records Management Handbook
- Records Management Policy and Guidance
- Records Management Initiatives (RMI)
- Records Management Self

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

The screenshot shows the National Archives website page for "Records Management Inspections". The page features a navigation bar with links for "RESEARCH OUR RECORDS", "VETERANS' SERVICE RECORDS", "EDUCATOR RESOURCES", "VISIT US", and "AMERICA'S FOUNDING DOCUMENTS". A search bar is located in the top right corner. The main content area is titled "Records Management Inspections" and includes a breadcrumb trail: "Home > National Archives Records Management Information Page > More Records Management Resources > Records Management Inspections".

Records Management Resources

- E-mail Management
- Records Management FAQs
- Memorandums to Agency Records Officers
- Federal Records Centers (FRC)
- Guidance and Policy for Accessioning
- Electronic Records Management (ERM)
- Toolkit for Managing Electronic Records
- Records Management Handbook
- Records Management Policy and Guidance
- Records Management Initiatives (RMI)
- Records Management Self Assessment (RMSA)
- Records Management Training
- Electronic Records Archives (ERA)
- Electronic Records Guidance
- Basic Laws & Authorities
- Meetings & Activities

Operating Status & Schedules

View the National Archives Operating Status

Records Management Inspections

Under 44 U.S.C. 2904(c)(7) and 2906, NARA has the authority to conduct inspections or surveys of the records and records management practices of Federal agencies for the purpose of providing recommendations for improvements. The criteria for selecting agencies for inspection or records management program review include, but are not limited to, the results of an agency's annual records management self-assessment, the significance of certain records and the related business processes, the risk of improper management of records, and the presence of important issues that are relevant to management of Federal records in general.

Each inspection or review focuses on one or more specific elements of an agency's records management program.

Inspection reports are published below by year:

Fiscal Year 2017

- Department of Agriculture Records Management Program
- Department of Transportation Records Management Program

Fiscal Year 2016

- Department of Commerce Records Management Program
- Department of Homeland Security Records Management Program
- Department of the Interior Records Management Program
- Department of Veterans Affairs Records Management Program
- Department of the Navy Enterprise-Wide Electronic Records Management Systems

Fiscal Year 2015

- Department of the Treasury Records Management Program
- Department of Energy Records Management Program
- Department of the Treasury/Internal Revenue Service

Fiscal Year 2014

- National Transportation Safety Board Records Management Program
- U.S. Securities and Exchange Commission Office of Records Management Services
- United States Nuclear Regulatory Commission Records Management Program

Fiscal Year 2013

- Department of Homeland Security Shared Use of Alien Registration Files by U.S. Citizenship and Immigration Services and U.S. Immigration and Customs Enforcement
- Department of Energy/National Nuclear Security Administration: Records Management Practices at the National Laboratories: Sandia, Lawrence Livermore, and Los Alamos

Fiscal Year 2012

- Management of Soft Copy Mapping Products in the National Geospatial Intelligence Agency

Fiscal Year 2011

- Management of Hard Copy Mapping Products in the National Geospatial-Intelligence Agency
- Records Management in the Office of the Secretary of Defense

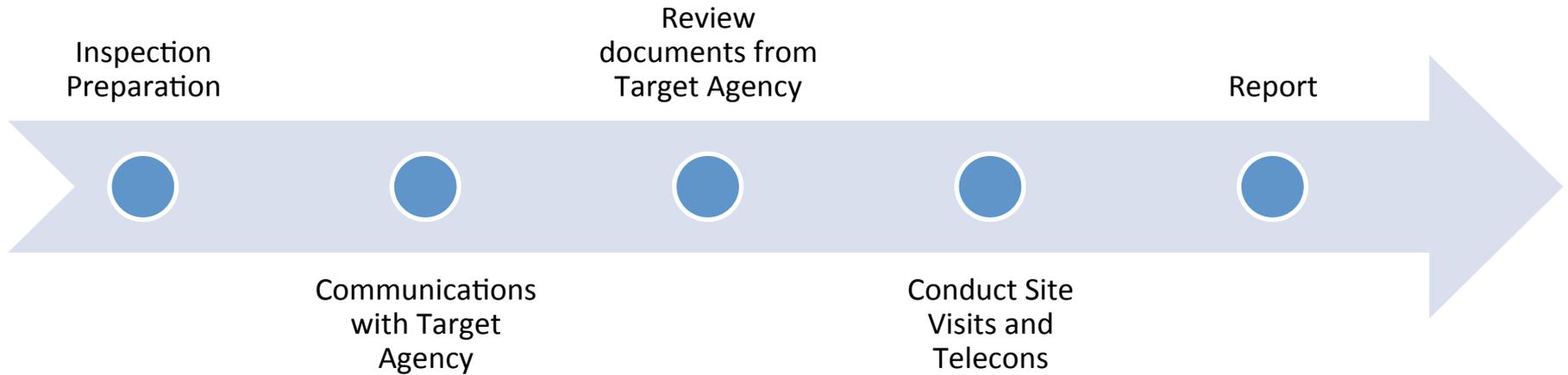
Agency Inspections

- 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



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

2016 SAORM Annual Reports | National Archives - Google Chrome

Secure | <https://www.archives.gov/records-mgmt/agency/sao-reporting>

NATIONAL ARCHIVES

RESEARCH OUR RECORDS VETERANS' SERVICE RECORDS EDUCATOR RESOURCES VISIT US AMERICA'S FOUNDING DOCUMENTS

Records Managers

Home > National Archives Records Management Information Page > Contact Information for Federal Agency Records Officers > 2016 SAORM Annual Reports

2016 SAORM Annual Reports

Departments and agencies with designated Senior Agency Officials for Records Management (SAORM) are required to use a 2016 reporting template. NARA is posting the reports from agencies as they are received. These reports are listed alphabetically by Independent Agency.

NARA regularly posts reports as we receive them from the submitting agencies. Agencies have until March 17, 2017 to submit their reports to NARA.

Note - If the agency you are looking for does not appear below, either under a Federal Department or as an Independent Agency, then either the agency was included in the report issued from their corresponding Federal Department Report or the agency was not required to submit a report.

Federal Departments

- Department of Agriculture
- Department of Commerce
 - U.S. Patent and Trade Office
- Department of Defense
 - Chairman, Joint Chiefs of Staff

Records Management Resources

- E-mail Management
- Records Management FAQs
- Memorandums to Agency Records Officers
- Federal Records Centers (FRC)
- Guidance and Policy for Accessioning
- Electronic Records Management (ERM)
- Toolkit for Managing Electronic Records
- Records Management Handbook
- Records Management Policy and Guidance
- Records Management Initiatives (RMI)
- Records Management Self Assessment (RMSA)
- Records Management Training
- Electronic Records Archives (ERA)

2016 Federal Email Management Reports | National Archives - Google Chrome

Secure | <https://www.archives.gov/records-mgmt/email-management-0>

NATIONAL ARCHIVES

RESEARCH OUR RECORDS VETERANS' SERVICE RECORDS EDUCATOR RESOURCES VISIT US AMERICA'S FOUNDING DOCUMENTS

Records Managers

Home > National Archives Records Management Information Page > 2016 Federal Email Management Reports

2016 Federal Email Management Reports

Departments and agencies are required to submit to NARA their Federal Email Management Report for 2016 using a 2016 reporting template in accordance with the jointly issued OMB/NARA *Managing Government Records Directive (M-12-18)*. The reports are listed alphabetically below sorted by Federal Department and Independent Agency.

NARA regularly posts reports as we receive them from the submitting agencies. Agencies have until March 17, 2017 to submit their reports to NARA.

Note - If the agency you are looking for does not appear below, either under a Federal Department or as an Independent Agency, then either the agency was included in the report issued from their corresponding Federal Department Report or the agency was not required to submit a report.

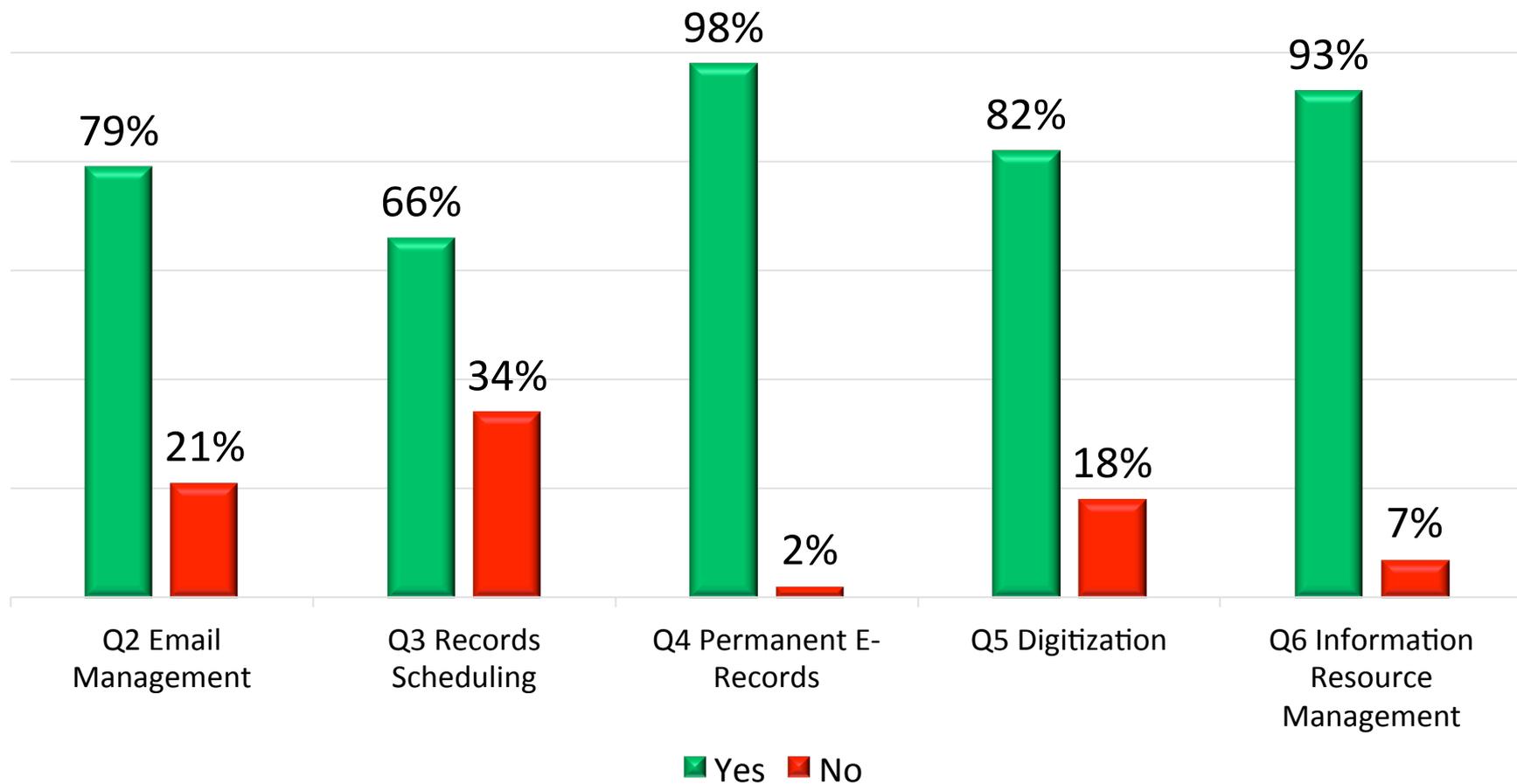
Federal Departments

- Department of Agriculture
 - Agricultural Marketing Service
 - Agricultural Research Service
 - Animal and Plant Health Inspection
 - Food and Nutrition Service
 - Office of the Chief Information Officer

Records Management Resources

- E-mail Management
- Records Management FAQs
- Memorandums to Agency Records Officers
- Federal Records Centers (FRC)
- Guidance and Policy for Accessioning
- Electronic Records Management (ERM)
- Toolkit for Managing Electronic Records
- Records Management Handbook
- Records Management Policy and Guidance
- Records Management Initiatives (RMI)
- Records Management Self Assessment (RMSA)
- Records Management Training
- Electronic Records Archives (ERA)

Senior Agency Official Reports 2016



<http://www.archives.gov/records-mgmt/resources/self-assessment.html>

Records Managers

Home > Records Management > Resources > Records Management Self-Assessment (RMSA)

Records Management Resources

[E-mail Management](#)
[Records Management FAQs](#)
[Memorandums to Agency Records Officers](#)
[Federal Records Centers \(FRC\)](#)
[Guidance and Policy for Accessioning](#)
[Electronic Records Management \(ERM\)](#)
[Toolkit for Managing Electronic Records](#)
[Records Management Handbook](#)
[Records Management Policy and Guidance](#)
[Records Management Initiatives \(RMI\)](#)
[Records Management Self Assessment \(RMSA\)](#)
[Records Management Training](#)
[Electronic Records Archives \(ERA\)](#)
[Electronic Records Guidance](#)
[Basic Laws & Authorities](#)
[Meetings & Activities](#)

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.

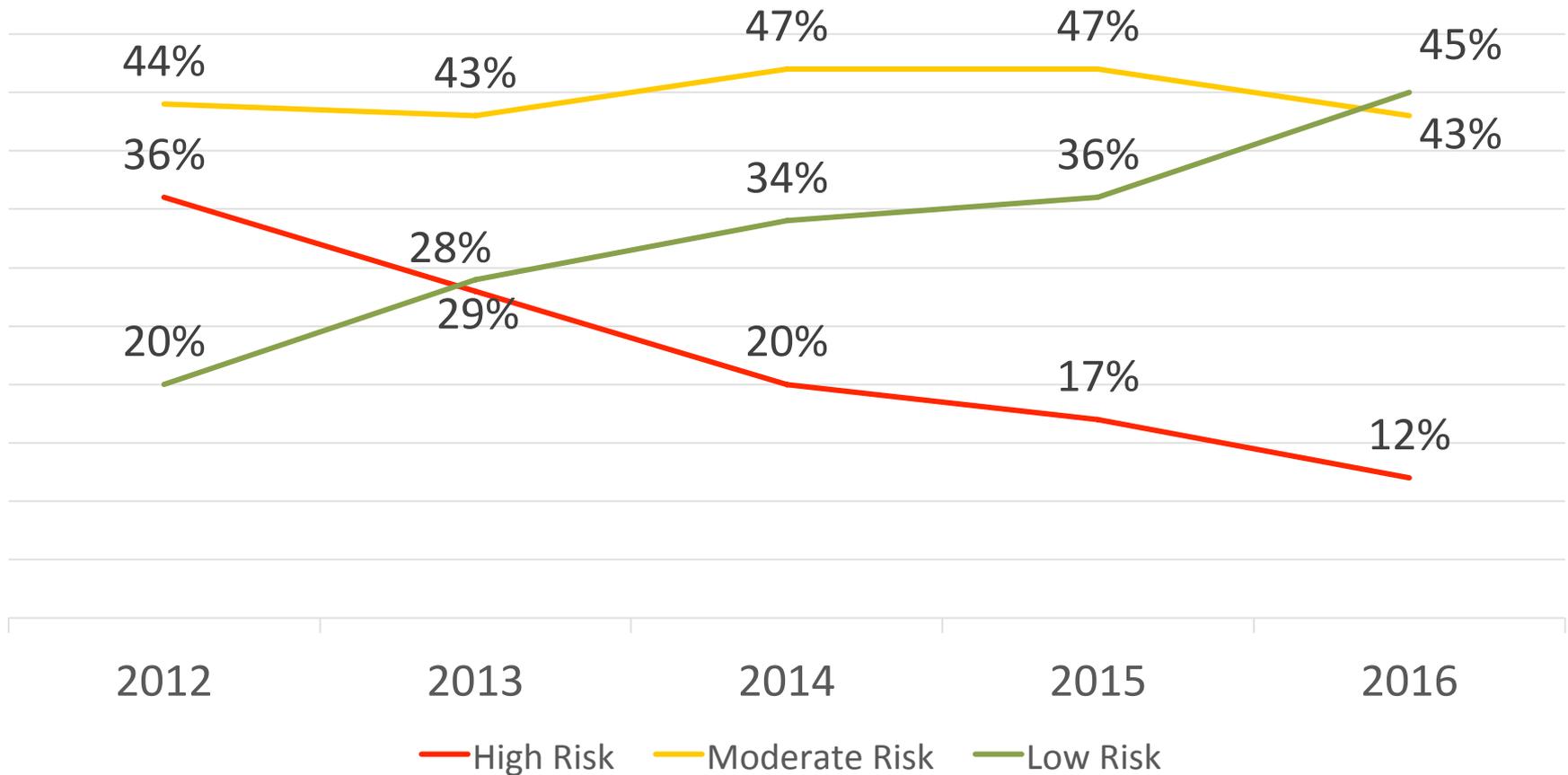
NARA is committed to continuing to work with Federal agencies to strengthen their records management programs so these scores improve. We look forward to working with Congress, OMB, and the Federal agencies to improve records management performance across the Federal Government.

- [2015 Final Report](#)

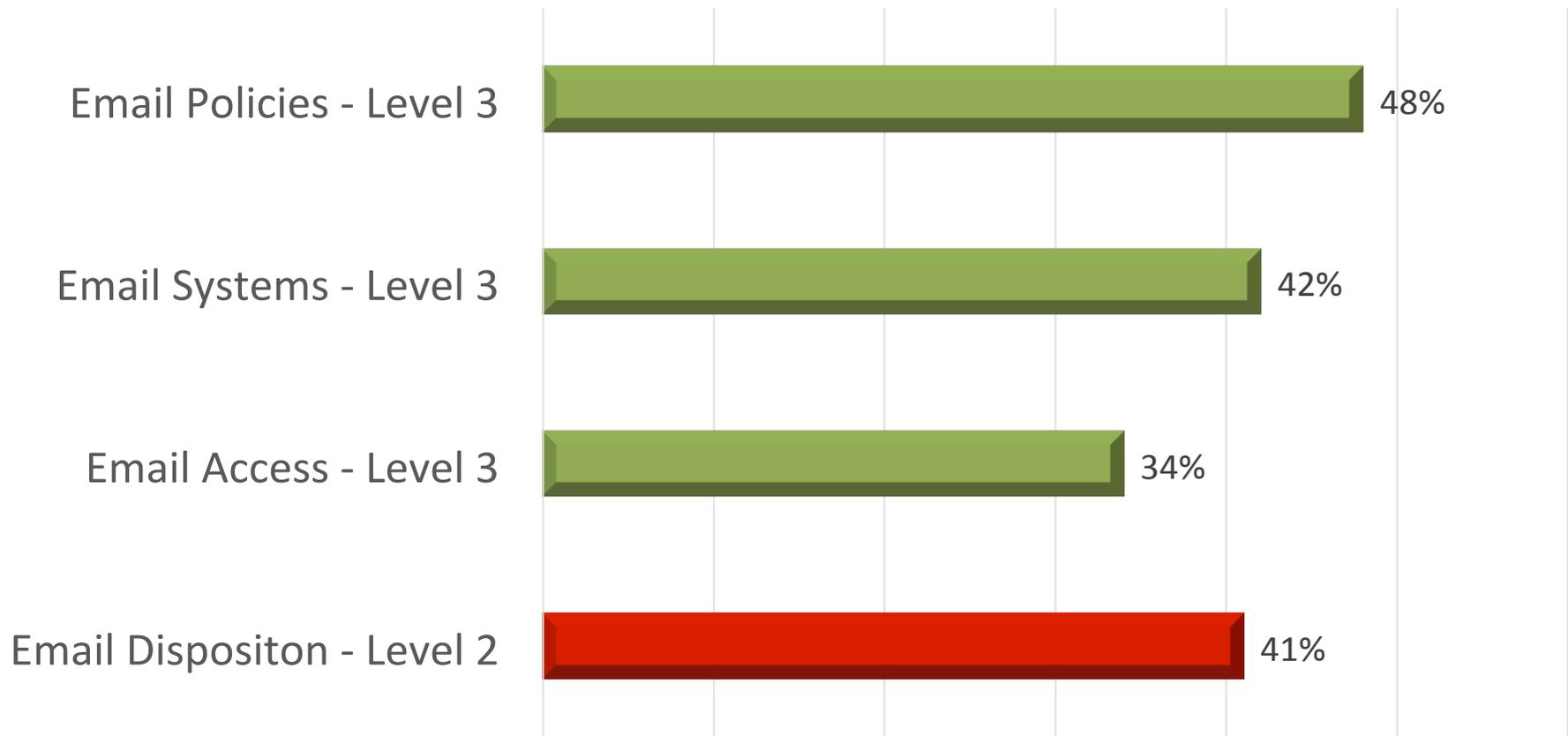
Previous Records Management Self-Assessment Reports

- [2014 Final Report](#)
- [2013 Final Report](#)
- [2012 Final Report](#)
- [2011 Final Report](#)
- [2010 Final Report](#)
- [2009 Final Report](#)

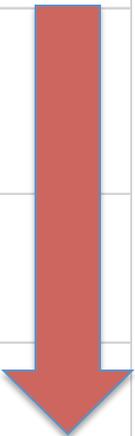
RMSA RISK LEVEL COMPARISON 2012 - 2016



Maturity Model Domains and Levels Achieved Most Often



RIM Maturity Model – choose the level that fits best

Statement	2-3: Risk Management	
(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.		
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	

Summary Results

Maturity Summary		
Domain 1: Management Support and Organizational Structure		
Statement	Level	Score
1-1: Strategic Planning	Level 3 - Engaged	3.0
1-2: Leadership and Management	Level 2 - Functioning	2.0
1-3: Resources	Level 2 - Functioning	2.0
1-4: Awareness	Level 1 - Developing	1.0
Domain 1 Maturity Score:		2.0
Domain 2: Policy, Standards, and Governance		
Statement	Level	Score
2-1: Policy, Standards, and Governance Framework	Level 2 - Functioning	2.0
2-2: Compliance Monitoring	Level 0 - Absent	0.0
2-3: Risk Management	Level 1 - Developing	1.0
2-4: Communications	Level 2 - Functioning	2.0
2-5: Internal Controls	Level 1 - Developing	1.0
Domain 2 Maturity Score:		1.2
Domain 3: RIM Program Operations		
Statement	Level	Score
3-1: Lifecycle Management	Level 3 - Engaged	3.0
3-2: Retrieval and Accessibility	Level 4 - Embedded	4.0
3-3: Integration	Level 2 - Functioning	2.0
3-4: Security and Protection	Level 3 - Engaged	3.0
3-5: Training	Level 0 - Absent	0.0
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/>

Laurence.Brewer@nara.gov

Donal.Rosen@nara.gov