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Bi-Monthly Records and Information Discussion Group
December 16, 2020

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- **Federal Records Centers Program Updates -** Chris Pinkney, Director of Operations, Federal Records Centers Program

- **Oversight and Reporting Updates** – Don Rosen, Director, Records Management Oversight and Reporting

- **Draft Regulations with Digitization Standards for Permanent Records** - Kevin DeVorsey, Senior Electronic Records Policy Analyst, Policy and Standards Team

- **Update on Federal Records Management and Transition Activities** - Laurence Brewer

- **General Question and Answer Session** - All Speakers

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Federal Records Centers Program Updates

Chris Pinkney,

Director of Operations, Federal Records Centers Program

December 16, 2020

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Oversight and Reporting Updates

Don Rosen and Tom Koval
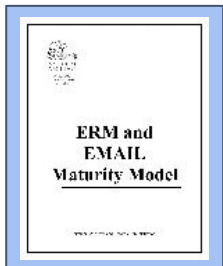Records Management Oversight and Reporting

December 16, 2020

Reporting Updates

Next Reporting Period: January 19 to March 19, 2021

SAORM →

This report gathers data on agency progress towards the goals of the OMB/NARA memorandum *Transition to Electronic Records* (M-19-21) and other important records management initiatives.

ERM and EMAIL Maturity Model →

This report, based on a maturity model, is designed to evaluate how well federal agencies are managing their electronic records and email.

RMSA →

The annual RMSA asks questions that assess compliance with records management statutes, regulations, and NARA policies and guidance.

Scored questions remain the same for stability of risk levels and agency's ability to measure changes with some changes to follow up data questions.

We also removed some unscored questions that were covered in the maturity model.

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- Semi-Annual Report on Records Management Oversight Activities

- Records Management Inspections

  - https://www.archives.gov/records-mgmt/resources/rm-inspections

- Records Management Assessments

  - https://www.archives.gov/records-mgmt/resources/rm-assessments

- Recently concluded its pilot assessment of NARA's controls over its own email and calendar records.

- Will begin to assess compliance and performance at other agencies.

- FY21 will continue to focus on email and calendar records. FY22 will likely cover different systems and records.

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Plan to evaluate performance and compliance in the following areas:

- Governance, policies, and procedures over system and record data, including access to documentation

- Management of records to provide reasonable assurance that they are trustworthy

- Processing, transmission, and storage of system and record data

- Coordination between records programs and IT organizations

- Record and data migrations, as appropriate

- Planning, preparation for, and previous accessioning, including disposition strategy

We will also look at compliance with:

- Federal Records Act

- Regulations in 36 CFR Chapter XII, Subchapter B

- NARA Bulletins, FAQs, and other guidance products, including the Electronic Record Maturity Model

- OMB Circulars A-123 and A-130 vis-a-vis GAO's Standards for Internal Control in the Federal Government (Green Book)

We will work with:

- Records Officers and program staff

- IT liaisons and system administrators

- Vendors, prime contractors, and sub-contractors

- Security, acquisition, and general counsel, as appropriate

- End-users, as appropriate

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Digitization Regulation Update

Kevin DeVorsey,
Senior Electronic Records Policy Analyst, Policy and Standards Team

Michael Horsley
Electronic Records Specialist, Policy and Standards Team

December 16, 2020

Digitization Regulation Update

- Background

- Digitization Regulation for Temporary Records

- Regulation for Permanent Records

- Current Status and Supporting Products

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- 2014: FRA Amendment

- 2018: NARA's Strategic Plan

- 2019: OMB Memo M-19-21

- 2020: Draft reviewed by agencies

- Specifies high level requirements for temporary records

- Published as a Final Rule 4/19/2019

- Supported by an FAQ :

  https://www.archives.gov/records-mgmt/faqs/digitization-regulation

Regulation 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   General requirements

- 1236.44   Preparing records for digitization

- 1236.46   Project management and documentation 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   Quality control inspection requirements

- 1236.58   Validating digitized records and instructions for disposing of records

Scope of This Subpart:

This regulation applies to records that can be scanned using reflective techniques such as:

- Paper records (all sizes and types)

- Printed photographs

- Mixed Media Records

- But not materials that are scanned using transmissive or other techniques such as:

- Photographic negatives

- Motion picture film

- Microforms

- A/V records

Preparing Records for Digitization:

- Records must be prepared, indexed, maintained in their original order

- Survey source records for preservation problems and select equipment that safely digitizes originals

- Identify the age, media types, dimensions, required level of detail, and condition of source records prior to digitization

- Scan in color or grayscale, not bi-tonal

Project Management and Documentation Requirements:

- You must implement a program that digitizes records to the parameters in the regulation

- You must create the following documents when digitizing permanent records and retain them in association with the digitized records:

  - A defined project plan

  - Quality management plans describing quality assurance (QA) objectives that achieve the requirements

  - Quality control (QC) procedures

  - Documentation is retained by agencies, not transferred to NARA

File Format Requirements:

Digital files for Textual and photographic print records must be encoded in the following formats:

- TIFF
- JPEG 2000
- PNG
- PDF/A-1 or PDF/A-2

Image data must be uncompressed or use one of the following lossless compression methods:

- LZW
- JPEG 2000 Part 1
- Deflate (Zip)

Digitization Requirements for Permanent Paper and Photographic Print Records:

- The regulation has two major imaging specifications: Mass Digitization and Prints and Photographs

- Equipment must be appropriate for media type, capable of meeting project requirements, and the imaging parameters

- Implement quality analysis using reference targets to verify conformance to imaging parameters

- Regularly test equipment to ensure they are operating optimally, at beginning of workday, start of each batch, or when problems are detected

- ## Federal Agencies Digital Guidelines Initiative (FADGI)

- ## Digital Image Conformance Evaluation (DICE)
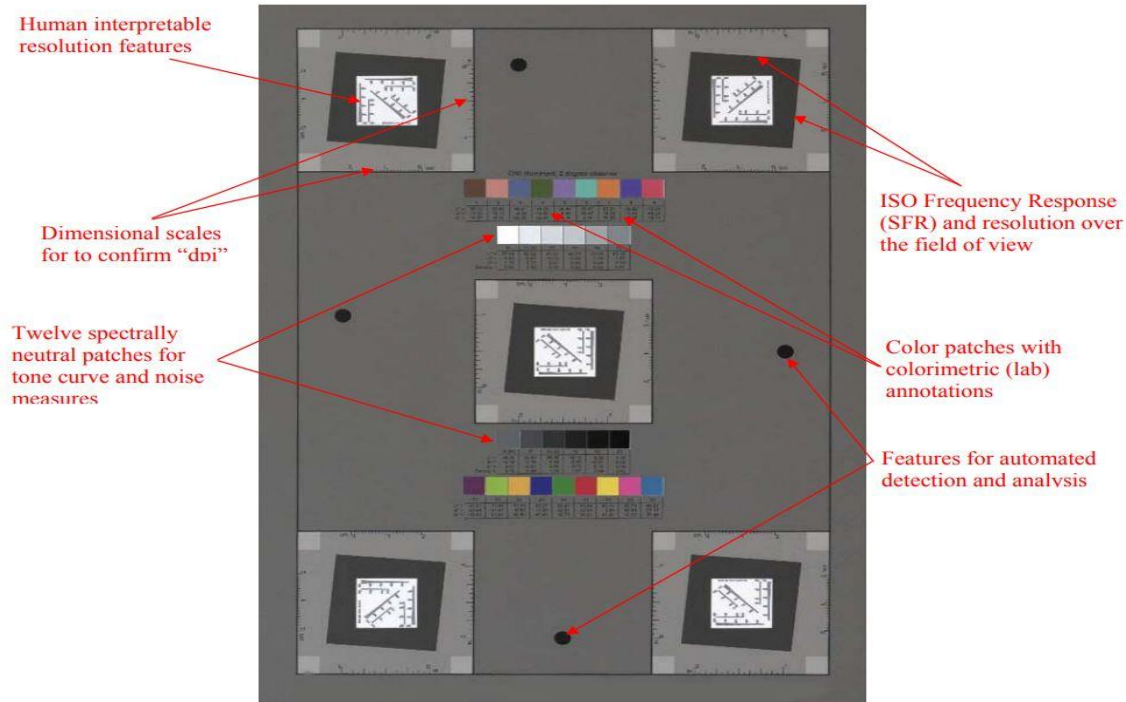
Digitization Requirements for Permanent Mixed-media Files:

- Identify the contents of any electronic or analog storage media

- Determine whether any files on the storage media are records

- If the files are records, determine whether they are components of mixed-media files that are being digitized.

- If they are permanent records not associated with the rest of the records in the file migrate them to an electronic information system

Metadata Requirements:

- Capture administrative metadata, including the source record's disposition and item number

- Capture descriptive metadata from source records at the record level

- Capture descriptive rights and restrictions metadata from source records at the record level, to document any that relate to the records

- Generate and capture technical metadata

- Generate checksums when digitization is complete

- Capture technical metadata describing the digitization process and the resulting electronic records

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- Quality management requirements

  - the underlying activities, policies, objectives, and responsibilities

- Quality Assurance

  - proactive quality management to prevent defects

- Quality Control

  - the monitoring, testing, and detection, inspection, remediation

Quality Control Inspection Requirements:

- The Quality Control Plan should identify and correct errors due to:

  - Malfunctioning or improperly configured digitization equipment

  - Improper software application settings

  - Incorrect metadata capture

  - Human error

- Regularly execute QC inspections of files for compliance with all parameters and criteria identified for QA in parts §§ 1236.46–1236.52

- Select equipment that meets or exceeds identified parameters

Validating Digitized Records and Instructions for Disposing of Records:

- Ensure that digitized records meet all image quality, metadata, and records management requirements

- A separate step from quality management

- Ensure that the digitized records are complete and accurate, and can meet the same business needs as the originals

- Agencies should consult with their General Council to ensure that their validation process is sufficient

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Status:

- Proposed Rule is published on the Federal Register

- Comments are 2/01/2021

Additional Products:

- Success Criteria

- Blog Posts

- Other media types to follow (film, microform, A/V)

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Federal Records Management and Transition Activities

Laurence Brewer
Chief Records Officer for the US Government

December 16, 2020

From the Archivist of the United States David S. Ferriero . . .

In times of transition, it is crucial that agency heads work with their Senior Agency Official for Records Management and Agency Records Officers to ensure that the importance of records management during transition is communicated within the agency and that all agency officials and employees are properly briefed on their records management responsibilities. NARA has resources to help you meet your agency's legal obligations, promote effective business operations during the transition, and preserve your agency's enduring historical record.

Records Express Blog Posts:

- President Elect Transition Team Materials
- Managing Official Email and Social Media Accounts
- Entrance and Exit Checklists for Senior Officials
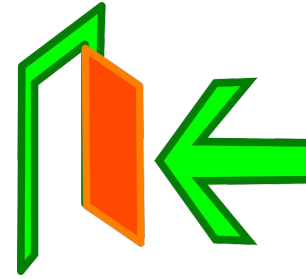- General Resources from NARA and GSA

NARA Webpage:

- Documenting Your Public Service

Federal Records Management

Areas of Focus

Email and E-messaging

Entrance & Exit Briefings

Social Media Records

Web Records

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General Questions?

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Next Meeting:

Tuesday, February 16, 2021

RM.Communications@nara.gov

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https://www.archives.gov/records-mgmt/meetings/index.html#bridg