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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

# B R I D G E

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**Bi-Monthly Records and Information Discussion Group**  
**October 20, 2020**



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# Welcome and Speaker Introductions

Laurence Brewer  
Chief Records Officer for the US Government

October 20, 2020



# BRIDG Agenda

- **Welcome and Speaker Introductions** – Laurence Brewer, Chief Records Officer for the U.S. Government
- **Federal Records Center Program (FRCP) Updates** – Gordon Everett, Director of Customer Relationship Management, FRCP, and Jefferson Lunsford, Chief Financial Analyst, FRCP
- **NARA Bulletin 2020-01, Guidance on OMB/NARA Memorandum Transition to Electronic Records (M-19-21)** – Laurence Brewer
- **NARA Bulletin 2020-02, Guidance on Scheduling the Early and Late Transfer of Permanent Records** - Laurence Brewer
- **Transition and Federal Records Management** - Lisa Haralampus, Director, Records Management Policy and Outreach
- **Cognitive Technologies White Paper** - Markus Most, Archives Specialist, Records Management Operations
- **General Question and Answer Session** - All Speakers



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# FRCP Updates



Gordon Everett  
Director of Customer Relationship Management,  
Federal Records Centers Program

October 20, 2020



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# NARA Bulletin 2020-02

## *Guidance on Scheduling the Early and Late Transfer of Permanent Records*

Laurence Brewer,  
Chief Records Officer for the US Government

October 20, 2020



## NARA Bulletin 2020-02: Guidance on Scheduling the Early and Late Transfer of Permanent Records

- Replaces NARA Bulletin 2015-01, Scheduling Guidance on the Appropriate Age for Legal Transfer of Permanent Records to the National Archives of the United States
- Agencies must complete an additional checklist when submitting a record schedule proposing early or late transfer of **permanent records**
  - Early transfer: transferring unclassified records that are less than 15 years old or security classified records that are less than 25 years old.
  - Late transfer: transferring records to NARA more than 30 years after cutoff or when the records are more than 30 years old, if transfer is based on the age of the record.



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## NARA Bulletin 2020-01:

# *Guidance on OMB/NARA Memorandum, Transition to Electronic Records*

Laurence Brewer,  
Chief Records Officer for the US Government

October 20, 2020





# Questions, Questions, Questions

On June 28, 2019, the Office of Management and Budget (OMB) and NARA jointly issued a memorandum with guidance on transitioning to electronic records ([OMB/NARA M-19-21](#)).

We received many questions from agencies, including general questions, exception process questions, records storage facility questions, and scheduling and transfer questions since M-19-21 was issued.

This bulletin answers many of those common questions and provides further guidance related to specific requirements in the memorandum.



# What's in the Bulletin?

The guidance provides more detailed information on exceptions as required by the Memorandum:

- General questions
- Exception process questions
- Records storage facility questions
- Scheduling and transfer questions



# General Exception Categories

These categories include cases where replacing analog records with electronic records or systems would be:

- Burdensome to the public or;
- The cost would exceed the benefit or;
- Prohibited by statute or regulation



# Other Considerations

Bulletin includes guidance for certain types of analog records that may require an exception:

- Records with potential intrinsic value
- Classified records
- Fragile records where digitization is cost-prohibitive



# Single, Comprehensive Request

Exception requests will be considered in the context of an agency's strategic plan for managing their records

Agencies should submit one request to cover all the records series they believe need exceptions

Requests should explain reasons for requesting an exception, identify the duration of exception, and include a plan for the transition to full compliance

Requests must be signed and submitted by the agency's SAORM

Submit requests to [RMStandards@nara.gov](mailto:RMStandards@nara.gov)



# Build a Business Case

Agency requests for exceptions should be based on a combination of criteria, not just one element, as part of an overall business case. The business case may contain variables such as:

- Descriptive information including approved disposition authority and volume
- Cost for digitization services or reference services
- Legal analysis of ownership/access issues
- Time estimates on how long an exception would be needed



# Resolving Requests

Agency requests will be reviewed by internal NARA offices and coordinated with OMB

There is no set time frame for resolving requests due to the varied nature of each request and the need for external coordination

Recommendations will be presented to the Archivist of the United States for decision



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# Transition and Federal Records Management

Lisa Haralampus,  
Director, Records Management Policy and Outreach

October 20, 2020

# Starting at the Beginning

## What is a Presidential Transition?

- Process of planning for a new presidential term
- Also called an administration transition
- The new term is either a new president entering office or a president starting a second term

## What is the Center for Presidential Transition?

- Run by Partnership for Public Service (PPS)
- Nonpartisan, nonprofit organization
- Sources of information and resources for transition
- <https://presidentialtransition.org>

**Legal Authority:** 3 USC § 102 The Presidential Transition Act of 1963. Updated by the Presidential Transition Act of 2000 (P.L. 106-293), the Pre-Election Presidential Act of 2010 (P.L. 111-283), the Edward “Ted” Kaufman and Michael Leavitt Presidential Transitions Act of 2015 (P.L. 114-136), and the Presidential Transition Enhancement Act of 2019 (P.L. 116-121).



# Coordination and Preparation

presidentialtransition.org

PARTNERSHIP FOR PUBLIC SERVICE

BEST PLACES TO WORK

CENTER FOR PRESIDENTIAL TRANSITION

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## What is the Center for Presidential Transition?

The Partnership for Public Service's Center for Presidential Transition serves as the premier nonpartisan source of information and resources to help presidential candidates and their teams lay the groundwork for a new administration or for a president's second term.



CAMPAIGN TEAMS



TRANSITION TEAMS



CURRENT ADMINISTRATION



FEDERAL AGENCIES



CONGRESS



MEDIA



# Three Legal Requirements

- 1. Each agency must designate a senior career official in charge of transition planning, preparing transition briefing materials, and succession planning**
- 2. Six months before an election, the President must establish a White House Transition Coordinating Council**
- 3. Maintain the standing Agency Transition Directors Council**

# Three NARA Responsibilities

- 1. Responsible for transferring Presidential records from White House before inauguration of new President**
- 2. Provide guidance and support to help ensure that outgoing and incoming officials follow federal records requirements**
- 3. Prepare as an agency**





## Presidential Transition Directory

Overview

Welcome to the 2020 Presidential Transition Directory

Federal Government Structure

Ethics and Accountability

**Records Management Guidelines**

Federal Records

Presidential Records

Presidential Record Keeping

External Transition Resources

Transition Overview

Congressional Reports



## PRESIDENTIAL TRANSITION DIRECTORY

### Introduction to Records Management

Federal employees will create and work with federal and/or presidential records. Records are more than documents in a filing cabinet. They can include emails, voicemails, texts, tweets, and much more. It is vital that government employees understand what a record is and how it should be properly managed. It is also important to remember the records and information you create and receive in the course of your official duties must remain under control of the Government. This allows future officials to build upon your work.

Records Management provides a rational basis for making decisions about what records to save and what to discard. These decisions are necessary to support the mission, legal, fiscal, administrative, and other needs of the Government. Implementing good records and information management practices helps agencies:

- minimize costs and operate efficiently,
- adequately and properly document agency actions and decisions, and
- identify and transfer permanently valuable records to the National Archives.



## Federal Records Management

Home > Federal Records Management > Documenting Your Public Service

### Transition Related Resources

[Video Briefing on Records Management Guidance for Political Appointees](#)

[Handout on Records Management Guidance for Political Employees](#)

[Model Records and Information Management Entrance and Exit Checklists](#)

[Email Management](#)

[Records Management Training](#)

[Records Management Policy and Guidance](#)

[Basic Laws & Authorities](#)

[GSA's Presidential Transition Directory - Federal Records Management Guidelines](#)

## Documenting Your Public Service

### Introduction

This guide provides all Government employees, including senior agency officials and political appointees, with information regarding their responsibilities for managing Federal records. Knowledge of this guidance and careful advance planning will aid employees throughout their Federal service. This guide identifies recordkeeping responsibilities and explains how to distinguish Federal records from other recorded information, including personal materials.

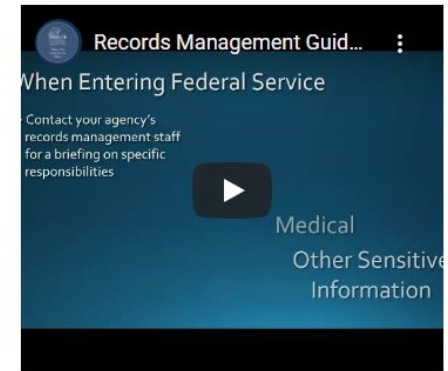
Federal records are important business assets with continuing value in protecting the rights and interests of the public, holding officials accountable for their actions, and documenting our nation's history. Government employees create and maintain Federal records as an integral part of their responsibilities.

Instituting good recordkeeping practices helps agencies:

- minimize costs and operate more efficiently;
- improve performance, transparency, and accountability by documenting actions and decisions; and
- identify and transfer permanently valuable historical records to the National Archives of the United States.

This guide does not apply to Presidential records created under the Presidential Records Act (PRA). Presidential records are managed separately from Federal records. Questions related to determining whether or not documentary materials are Presidential records should be referred to the White House Counsel.

### What Are Federal Records?



# Federal Records Management

## Areas of Focus



**Email**



**Entrance & Exit**



**Social Media**



**Web**

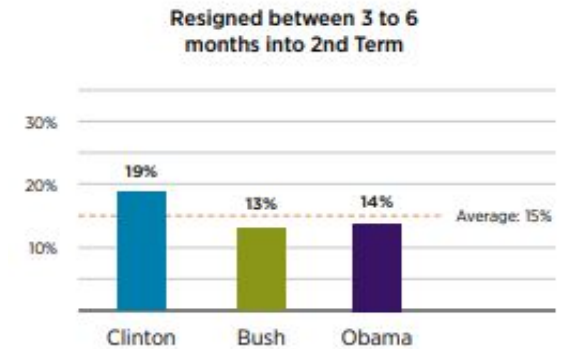
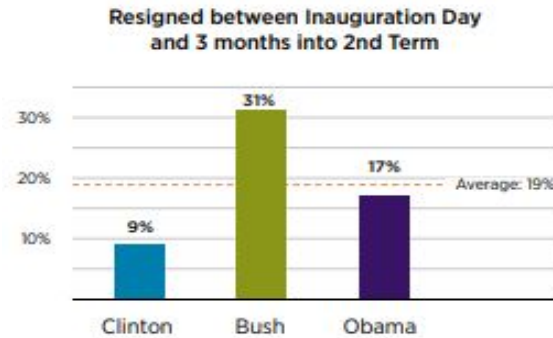
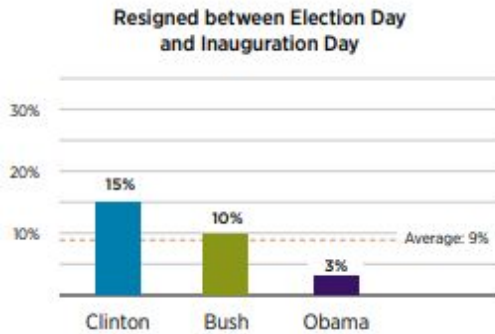
<https://records-express.blogs.archives.gov/tag/transition/>



# Data on Turnover Rates

## Percent of top Senate-confirmed Appointees who resigned near start of 2nd term.

Appointments in 15 Cabinet-level executive branch departments at the levels of secretary, deputy secretary and undersecretary



Data for Trump Administration will be different, as only 2 cabinet members have served 4 years. Data still supports that turnover for appointees is expected



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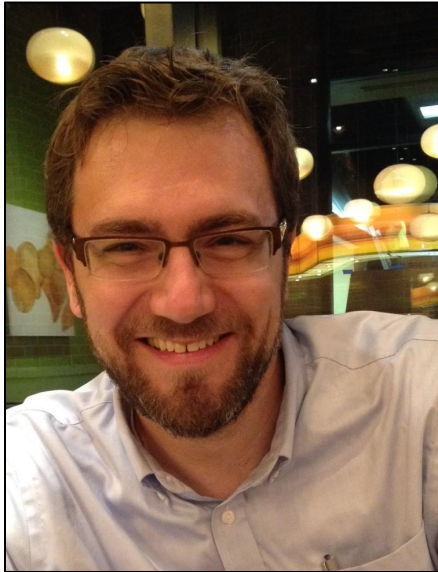


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# Cognitive Technologies

*Records Management Implications for Internet of Things, Robotic Process Automation, Machine Learning, and Artificial Intelligence*



Markus Most,  
Archives Specialist

October 20, 2020

# Cognitive Technologies

- AC staff prepared a white paper on the records management implications of:
  - **Internet of Things (IoT)**
  - **Robotic Process Automation (RPA)**
  - **Machine Learning (ML)**
  - **Artificial Intelligence (AI)**
- The white paper provides a basic description of each of the technologies, examples of their various applications, and factors supporting the technologies.

- **Internet of Things (IoT)** - Refers to the billions of physical devices around the world that are now connected to the internet, collecting and sharing data.
- **Robotic Process Automation (RPA)** - A technology platform that enables a software robot to interact with applications.
- **Machine Learning (ML)** - Software programming that uses algorithms to autonomously improve decisions with experience or by learning without being explicitly programmed through user interface.
- **Artificial Intelligence (AI)** - AI can be described as teaching machines to learn and solve problems so they can make yes or no decisions.



- **Paper Link:**

<https://www.archives.gov/files/records-mgmt/policy/nara-cognitive-technologies-whitepaper.pdf>

## **For Further Information Contact:**

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Markus Most

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# General Questions?

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# NEXT MEETING

## Wednesday

### December 16, 2020

[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#bridg>