

NARA RECORDS MANAGEMENT INITIATIVES FOR MORE EFFECTIVE ACCESS TO INFORMATION

SERI Educational Webinar
Tuesday, September 9, 2014
2:00 pm Eastern



ACKNOWLEDGEMENTS

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PRESENTERS



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Establishing a Foundation for Access:

ARMA, NARA, and ISO Frameworks for Improving Information Management

Meg Phillips, NARA

Based on on SAA Presentation developed with
Don Rosen, NARA and Diane Carlisle, ARMA

Good Access is Not the Result of Good Luck!

- Managing Government Records Directive
- ISO Standards for Records Management
- ARMA Information Governance tools:
 - The Principles
 - Information Governance Maturity Model
- Technology and automation

Managing Government Records Directive (M-12-18)



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
Acting Director
Office of Management and Budget

A blue ink signature of Jeffrey D. Zients, written over the text of the "FROM" field.

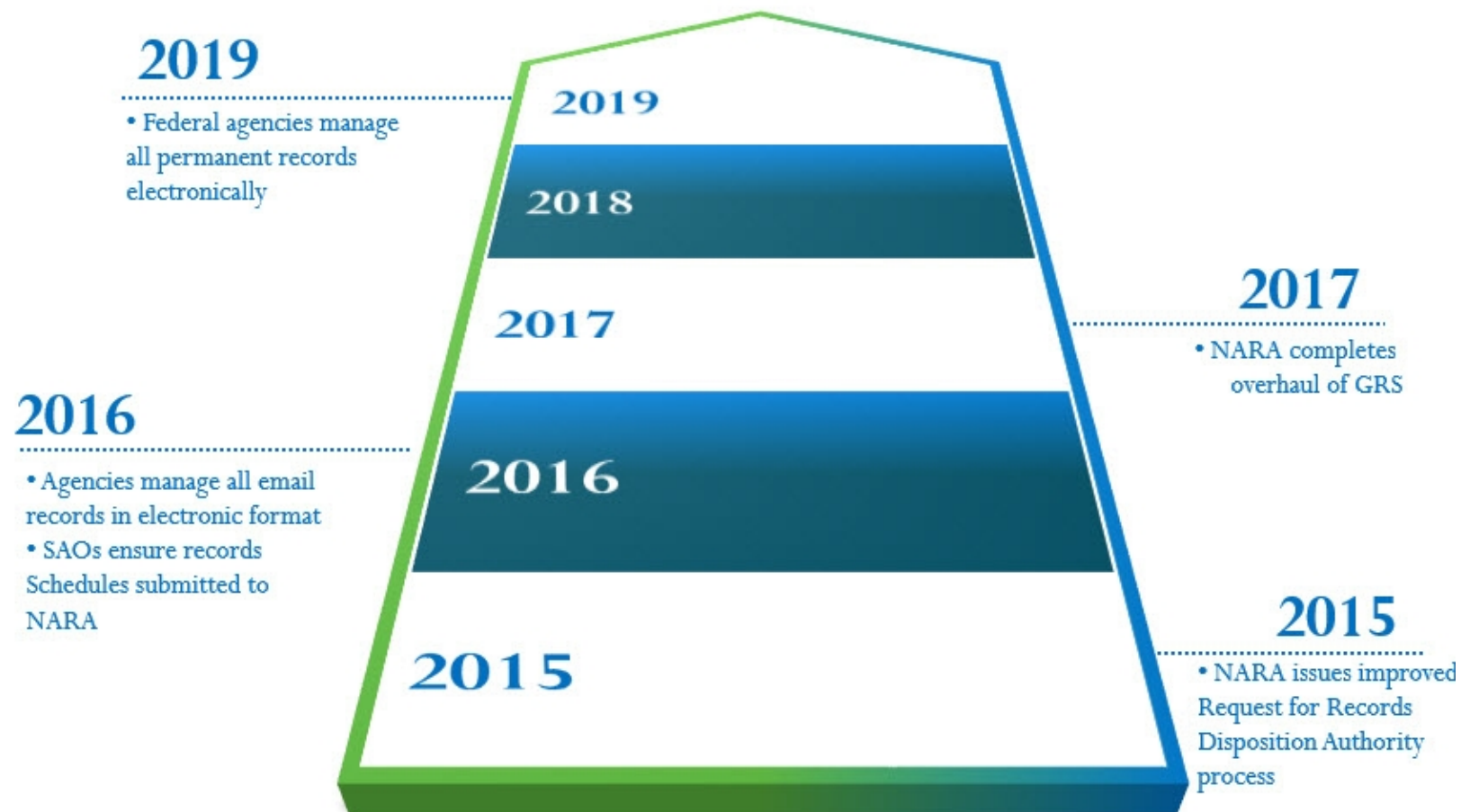
David S. Ferriero
Archivist of the United States
National Archives and Records Administration

A black ink signature of David S. Ferriero, written over the text of the "FROM" field.

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

Directive Timeline



What is an ISO Standard?

- “A standard is a document that provides requirements, specifications, guidelines or characteristics that can be used consistently to ensure that materials, products, processes and services are fit for their purpose.” (ISO website definition)
- ISO – world’s largest developer of voluntary standards
 - Covers wide range of topics
 - Quality, Safety, Efficiency, Food, Water,
 - **Records and Archives!**

ISO Standards Development

- Is the standard needed?
- Convene global experts
- Multi-stakeholder process
 - Industry
 - Consumers
 - Academia
 - NGOs / Government
- Consensus drives decisions



Who Creates RM Standards?

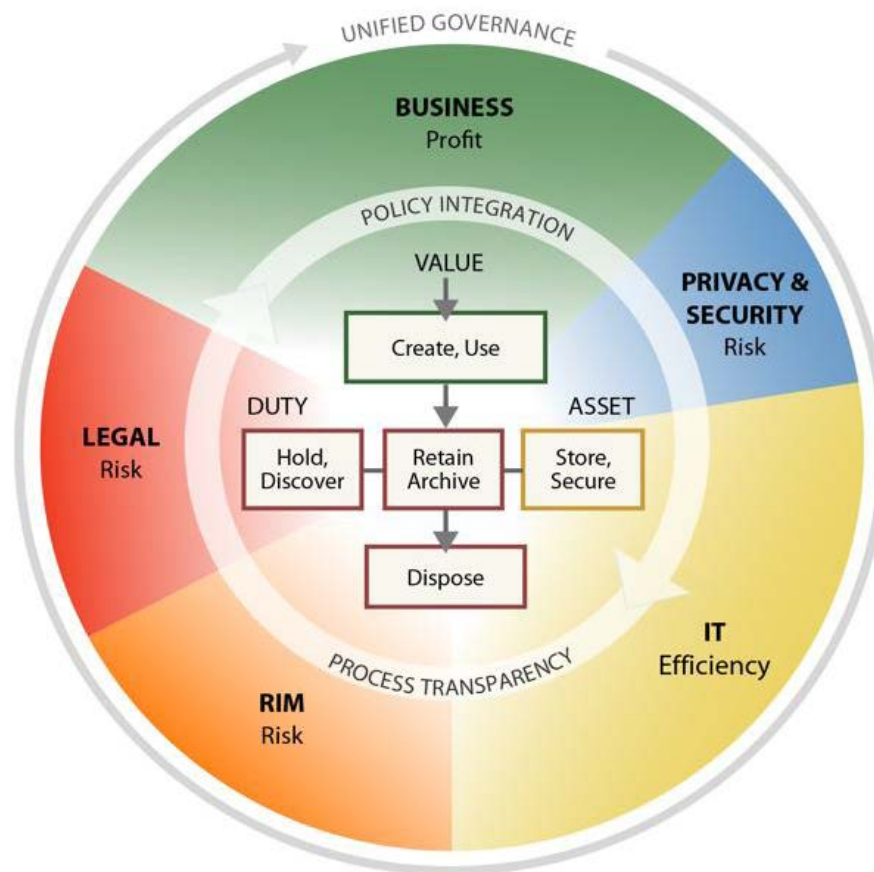
- International experts – TC46 / SC11
 - 30 countries participate; 13 countries observe
- Who is involved?
 - National Archives: NARA, LAC, National Archief, etc.
- Associations: ARMA, AIIM, ALA
- Vendors and Consultants
- Other relevant TCs
 - TC171: Document management applications

Records Management Standards

- ISO 15489 (under Systematic Review)
 - Foundational Standard for Record Management
 - Principles of RM Programs
 - Training
 - Metadata
 - Appraisal
 - Policies and Responsibilities
 - Record Control
- ISO 23081
 - Metadata
- ISO 30300 and 30301
 - Management System for Records
- PDF/A

Information Governance Reference Model

- Unifies these perspectives:
 - Business – profit
 - Security/Privacy – risk
 - IT – efficiency
 - Legal – risk
 - RIM - risk



The ARMA Principles

Accountability

Transparency

Integrity

Protection

Compliance

Availability

Retention

Disposition

A TIP CARD

Information Governance Maturity Model

Maturity Level	Status
1 Sub-Standard	RED
2 In Development	ORANGE
3 Essential	AMBER
4 Proactive	BLUE
5 Transformational	GREEN

- No need to stair step through levels
- Level may vary across principles
- Level 3 is minimum acceptable
- Less than 5 may be acceptable:
 - Risk tolerance
 - Level of regulation

Principle of Availability

An organization shall maintain records in a manner that ensures timely, efficient, and accurate retrieval of needed information.

What the Principle Delivers:

- The correct information to the right person; at the right time; in the right format
- Rapid, accurate retrieval for business purposes
- Ability to fulfill eDiscovery and regulatory requests

What the Principle Depends On:

- Well-crafted finding aids
- Defined metadata fields and capture processes
- Automated, integrated access across active / inactive repositories
- Protection across all media formats
- Disaster recovery plans / protocols

Technology and Automation

Managing Government Records Directive

A3 Investigate and stimulate applied research in automated technologies to reduce the burden of records management responsibilities

[on the end user]

Technology provides opportunities to:

- Automate policy implementation
- Break down information silos

Automating Electronic Records Management

- Short term goals
 - All email electronically - 2016
 - Permanent e-records electronically - 2019
- Long term goals
 - Streamline for easy management, access, and use
 - Support transition to effective digital government
 - Lay the groundwork for better future access

SAA's *Archival Outlook*: "Make Access Happen: Help the National Archives Rethink Electronic Recordkeeping!"

[http://www2.archivists.org/sites/all/files/2013-4-AO\(2\)_0.pdf](http://www2.archivists.org/sites/all/files/2013-4-AO(2)_0.pdf)

make ACCESS happen



Help NARA Rethink Electronic Recordkeeping

National Archives and Records Administration

Can you imagine a future in which valuable federal government information in electronic format is easy to find and automatically available to anyone with the right to see it? Agency staffers, the public, journalists, historians, lawyers, students, scientists—anyone, present or future.

Can you imagine providing this kind of access in a timely way while also protecting individual privacy, confidential business information, national security, and other legally protected interests, for as long as required but no longer?

How can we build that future?

The National Archives and Records Administration (NARA) wants to **make access happen**, and this is the kind of world we'd like to help build. We're asking you to help us identify the steps we can take to get there.

Challenges to Overcome

Meeting the goal of efficient and effective access means overcoming significant obstacles. One of the challenges is the sheer number of electronic records that

and agencies or at the National Archives. Without radical change in federal information and records management, these backlogs will increase exponentially. On a practical level, users will not have access to ever-increasing quantities of potentially releasable information.

NARA believes this is unacceptable. In the words of Paul Wester, the chief records officer for the U.S. government, "The processes we developed for paper records just aren't working in the current digital environment. We have a new mandate from the Administration to really open up government information—using both the growing number of existing tools and creative new thinking. It's time to take this opportunity and develop a strategy that gets better results."

Some examples illustrate the problems we face when traditional processes can no longer effectively make access happen, no matter how hard people work to manage information and make it available.

- **Declassification:** The Public Interest Declassification Board estimated in 2012 that under the current human process, one intelligence agency would require two

responding to FOIA requests and as part of proactive processing and release of government records in normal archival processing.

- **Application of retention rules:** Traditional records management processes create bottlenecks in categorizing each record for appropriate records retention and disposition, delaying public access to high-value archival records.

Finding Solutions

The government needs new processes and needs to use technology to give everyone—government employee or member of the general public—easy access to the government information he or she has the right to read. NARA believes the processes to capture, retain or destroy, search, categorize, restrict, protect, declassify, and publish information online should all happen as automatically as possible to maximize the consistency and speed of information access for all authorized users.

The Obama Administration kicked off major initiatives that will address many parts of this problem. One is the Executive Order **"Making Open and Machine Readable**

ERM Automation Report and Plan

Report: Outcomes, Risks, NARA Stance on DOD 5015.2

Approaches to Automation

- No Automation
- Rule Based Automation
- Business Process and Workflow Automation
- Modular, Re-usable ERM Tools
- Autocategorization

Plan: Proposes several steps to make those approaches more accessible and affordable for agencies

In Summary...

Information governance principles and maturity

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Managing Government Records Directive

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Defined Standards and Best Practices

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Technology and Automation

=

Foundation for Access to Electronic Information

NARA Revised Transfer Guidance 2014

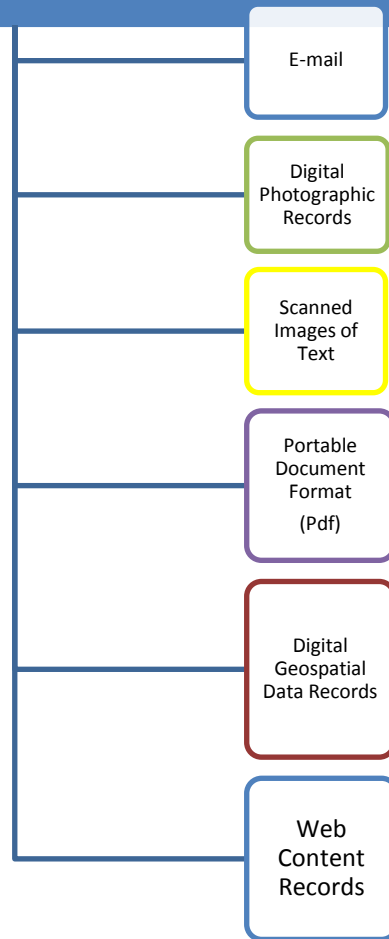


Kevin DeVorse
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Jill Hudson

NARA 2014-04 Overview

- Goals
- Scope
- Major Changes
- New Categories
- Mapping from Old to New
- Q&A

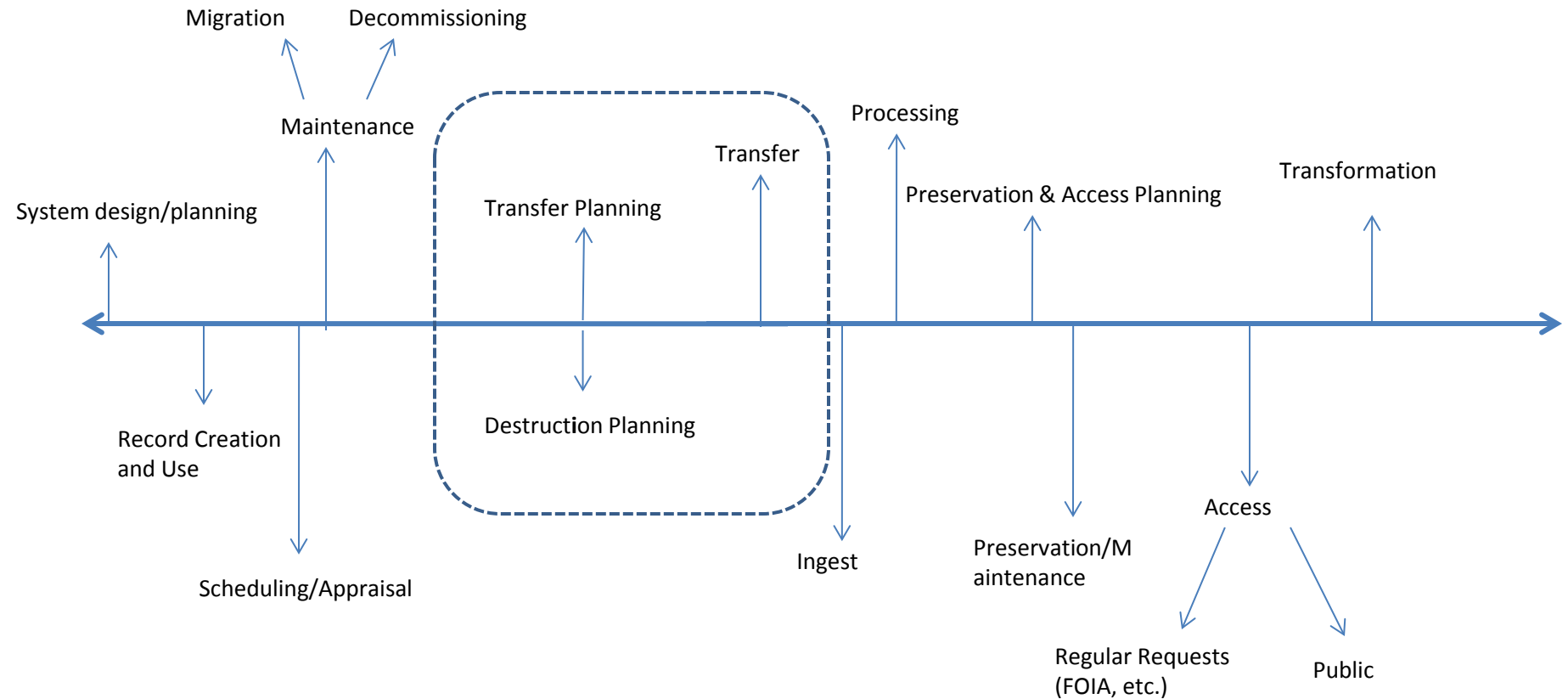
Former Transfer Guidance



Goals for revised guidance:

- Develop a flexible and extensible framework that can adapt to future needs.
- Balance preference for open, standards based formats with the business needs of agencies.
- Expand the types of formats that NARA accepts.
- Minimize the need for agencies to transform records prior to transfer.

Electronic Records Lifecycle

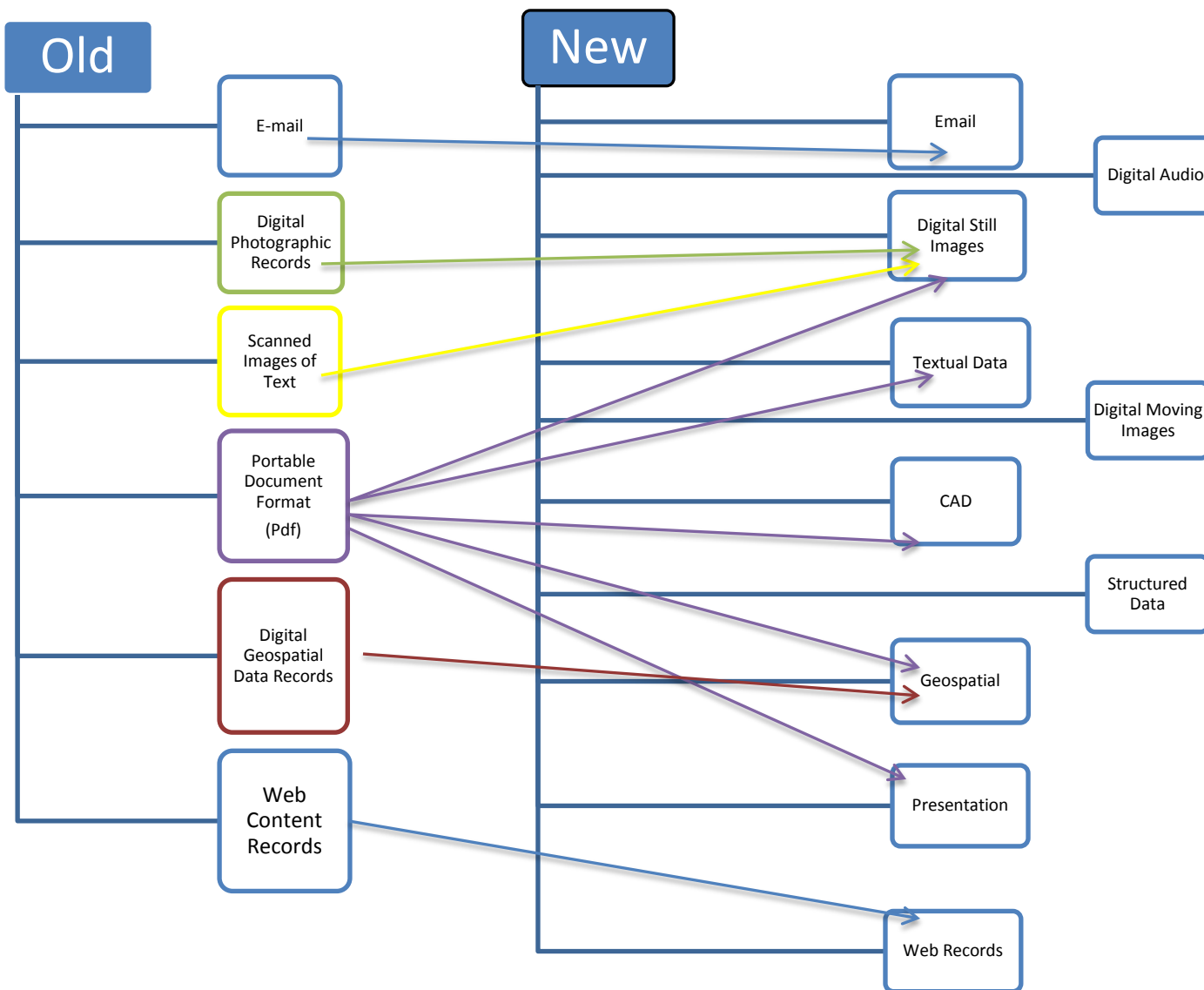


Categories of E-records

- Digital Still Images
- Digital Moving Images
- Digital Audio
- Text
- Geospatial Records
- CAD
- Structured Data
- E-mail
- Web & Social Media

A Change in Approach

- We identified formats that are:
 - Preferred
 - Acceptable
 - Acceptable for Imminent Transfer (to sunset previously acceptable formats)
- Formats vetted for sustainability using the 7 Sustainability Factors Criteria from the Library of Congress
 - disclosure, adoption, transparency, self-documentation, external dependencies, impact of patents, technical protect. mech.



Major Changes

- Formats are categorized by genre.
- PDF has been rolled into the different categories where it is an appropriate format rather than existing as a stand-alone category for scanned text.
- New categories include Computer Aided Design Formats (CAD), word processing and office automation formats (Microsoft Word and Excel), and digital audio and video.

What Revised Transfer Guidance is not

- Not a comprehensive list of formats for agencies to use for all business purposes
- Not creation guidance (i.e. how to create a quality file, set up a scanning operation, etc.)
- Not appraisal guidance
- Not guidance on physical media

Don Chalfant

Electronic Records Format Specialist

ACPE

Office of the Chief Records Officer

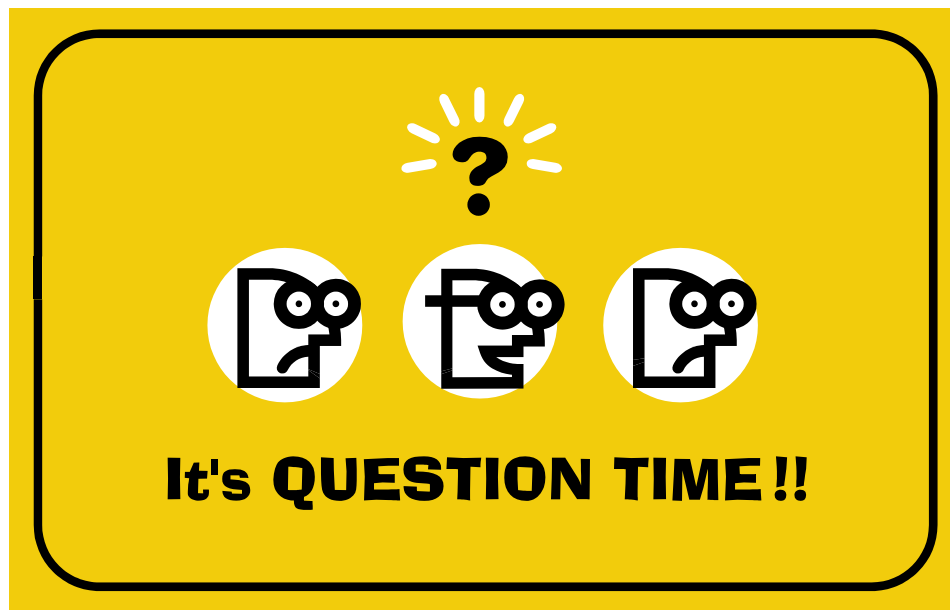
Agency Services

National Archives and Records Administration



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QUESTIONS & COMMENTS



WRAP-UP

- Post-webinar evaluation will automatically open in your web browser when you exit the session.
- Next SERI Educational Webinar is Tuesday, October 14 @ 2:00 pm Eastern
 - Topic: **Electronic Records Ingest**
- Complete webinar schedule is available on CoSA's website:
http://www.statearchivists.org/CoSA_Webinars.htm
- All webinar slides available from the SERI webinar page:
http://www.statearchivists.org/seri/STEP/SERI_Educational_Webinars.htm