Protect Records Today – Protect Rights Tomorrow

National Sunshine Week Celebration

March 15, 2016

Laurence Brewer, CRM
Acting Chief Records Officer for the U.S. Government
National Archives and Records Administration
Agenda

• Background
• Email policies
• Email success criteria
• Agency status – RMSA and SAO reports
• Records management and open government
Managing Government Records Directive

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

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:
Milestones in the Directive

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

By **2016**, agencies manage permanent and temporary email in accessible, electronic format.
M-14-16

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

FROM: Beth F. Cobert  
    Deputy Director for Management  
    Office of Management and Budget  

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

SUBJECT: Guidance on Managing Email

Reforming records management policies and practices and developing a 21st-century framework for the management of government records is a priority for this Administration. Recognizing the importance of managing email records, the Administration has specifically focused on the proper management of these records. The attached guidance reaffirms the importance of recordkeeping and is a reminder that agencies, and employees, are responsible for properly managing and retaining email records.
NARA Bulletin 2014-06

September 15, 2014

TO: Heads of Federal Agencies

SUBJECT: Guidance on Managing Email

EXPIRATION DATE: Expires when revoked or superseded

1. What is the purpose of this Bulletin?

This Bulletin reminds Federal agencies about their records management responsibilities regarding email. This is especially important in light of the requirement in the Managing Government Records Directive (OMB M-12-18) for all email to be managed electronically by December 31, 2016. In addition, recent disclosures by agencies have put this issue into more prominent focus. NARA will continue to issue guidance that assists agencies in meeting the goals of the Directive and Federal records management requirements under the Federal Records Act and associated regulations.

2. Are emails Federal records?

NARA has issued many bulletins, FAQs, regulations, and agency records management training sessions that provide guidance on Federal email management (see list in Question 9). Each has stated emails that are Federal records must be managed for their entire records life cycle. The statutory definition of Federal records is found at 44 U.S.C. 3301 and is further explained in the Code of Federal Regulations at 36 CFR 1222.10.
AC 39.2015

September 16, 2015

MEMORANDUM TO FEDERAL AGENCY CONTACTS: GRS Transmittal 25 - GRS 6.1, Email Managed Under a Capstone Approach

The Office of the Chief Records Officer is happy to announce the publication of GRS Transmittal 25, which issues GRS 6.1, Email Managed Under a Capstone Approach. The transmittal only adds new chapter GRS 6.1; all schedules in Transmittal 24 are still current and active.

GRS 6.1 is available only to agencies implementing a Capstone approach to managing email. Agencies choosing to use this GRS must submit a verification form (Form NA-1005) prior to implementation and must disseminate the schedule within 6 months. NOTE: Some browsers do not support viewing of PDF documents. For best results, it is recommend that Firefox or Internet Explorer be used to open the form, or that the form be downloaded directly.

NARA will release an online training module on how to fill out the verification form on October 13, 2015. The time between release of this Transmittal and release of this training will ensure that agencies have adequate time to review the GRS, its affiliated FAQ, and the verification form prior to the training. Agency Records Officers should also begin discussing the transmittal of GRS 6.1 with the appropriate agency stakeholders, including the Senior Agency Official (SAO) for Records Management, General Counsel, and Chief Information Officer. The NARA training is not mandatory, but encouraged. Agencies may begin completing the verification form at any time.

For more information, please see the GRS web page. If you have any questions about the GRS, please contact GRS_Team@nara.gov.

PAUL M. WESTER, JR.
Chief Records Officer
for the U.S. Government

Attachment:
GRS Transmittal 25.pdf
Email Success Criteria

• Based on the *Managing Government Records Directive*

• 4 categories of criteria:
  – Policy
  – Systems
  – Access
  – Disposition
Why We Need Success Criteria

• Ensures the effective management of email records

• Provides common definitions – for senior managers, records managers, IT

• Helps assess email management practices
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.

- 2014 Final Report

Previous Records Management Self-Assessment Reports

- 2013 Final Report
- 2012 Final Report
- 2011 Final Report
- 2010 Final Report
- 2009 Final Report
RMSA Trends by Risk Category
2009 - 2015

- High Risk
- Moderate Risk
- Low Risk
Capstone

- Will use GRS: 54%
- Investigating options: 29%
- Submit a schedule to NARA: 15%
- Do not know: 2%
Quick peek at RMSA 2015 email trends:

- Preliminary statistics on email so far:
  - 41 agencies allow personal email accounts and almost all of these have policies that have been updated with the recent change in the law
  - 93 agencies audit the preservation of email by either their CIO or the ARO
  - 126 agencies have policies and procedures for all electronic communication – not just email
SAO Reporting

Senior Agency Officials for Records Management are required by the Managing Government Records Directive (M-12-18) to report to NARA on agency progress in meeting the Directive goals as well as on other significant records and information initiatives as defined by NARA. If you have questions contact prmd@nara.gov.

SAO Specific Resources

- 2015 SAO Annual Reports
- 2014 SAO Annual Report Analysis
- 2013 SAO Annual Report: Executive Report
- Questions? - Contact PRMD@nara.gov
2015 SAO Annual Reports

Departments and agencies with designated SAOs were required to submit Senior Agency Official for Records Management Annual Reports to NARA using a 2015 reporting template. NARA is posting the reports from agencies as they are received. These reports are listed alphabetically below. First, by Federal Departments, then by the Federal Agencies. Selecting the name of the Department or Agency will link to the report submitted by the agency.

Federal Departments

- Department of Agriculture
- Department of Commerce
- Department of Defense - Office of the Secretary
- Department of Education
- Department of Energy
- Department of Health and Human Services
- Department of Homeland Security
- Department of Housing and Urban Development
- Department of Justice
- Department of Labor
- Department of State
- Department of the Interior
Open Government at NARA

U.S. National Archives and Records Administration
FISCAL YEAR 2014–2018

STRATEGIC PLAN

OPEN GOVERNMENT PLAN
National Archives and Records Administration
2014-2016
Records management is the backbone of open Government.

The White House Memorandum re: Managing Government Records, November 28, 2011
Stay informed

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