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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Bi-Monthly Records and Information Discussion Group

To Ask Questions

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December 12, 2023



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Welcome

Laurence Brewer

Chief Records Officer for the U.S. Government



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Opening Remarks

Dr. Colleen Shogan

Archivist of the United States



- Chief Records Officer for the U.S. Government Update
- Updates from the Federal Records Centers Program
- Digitization Guidance
- Annual RM Reporting for CY 2023
- Safeguarding NATO Equity within Federal Records Centers



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Federal Records Centers Program (FRCP) Updates

Christopher C.C. Pinkney

Director of Operations

Federal Records Centers Program



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Digitization Guidance Updates

John Martinez

Supervisor, RM Policy
and Standards

Kevin De Vorse

Senior RM Policy
Analyst

Michael Horsley

Senior RM Policy
Analyst



- New Products
 - Success Criteria
 - FAQ on Non-Compliant Digitized Permanent Records
 - Quality Management Guide

- Digitization Regulation for Film

- Digitization Webpage

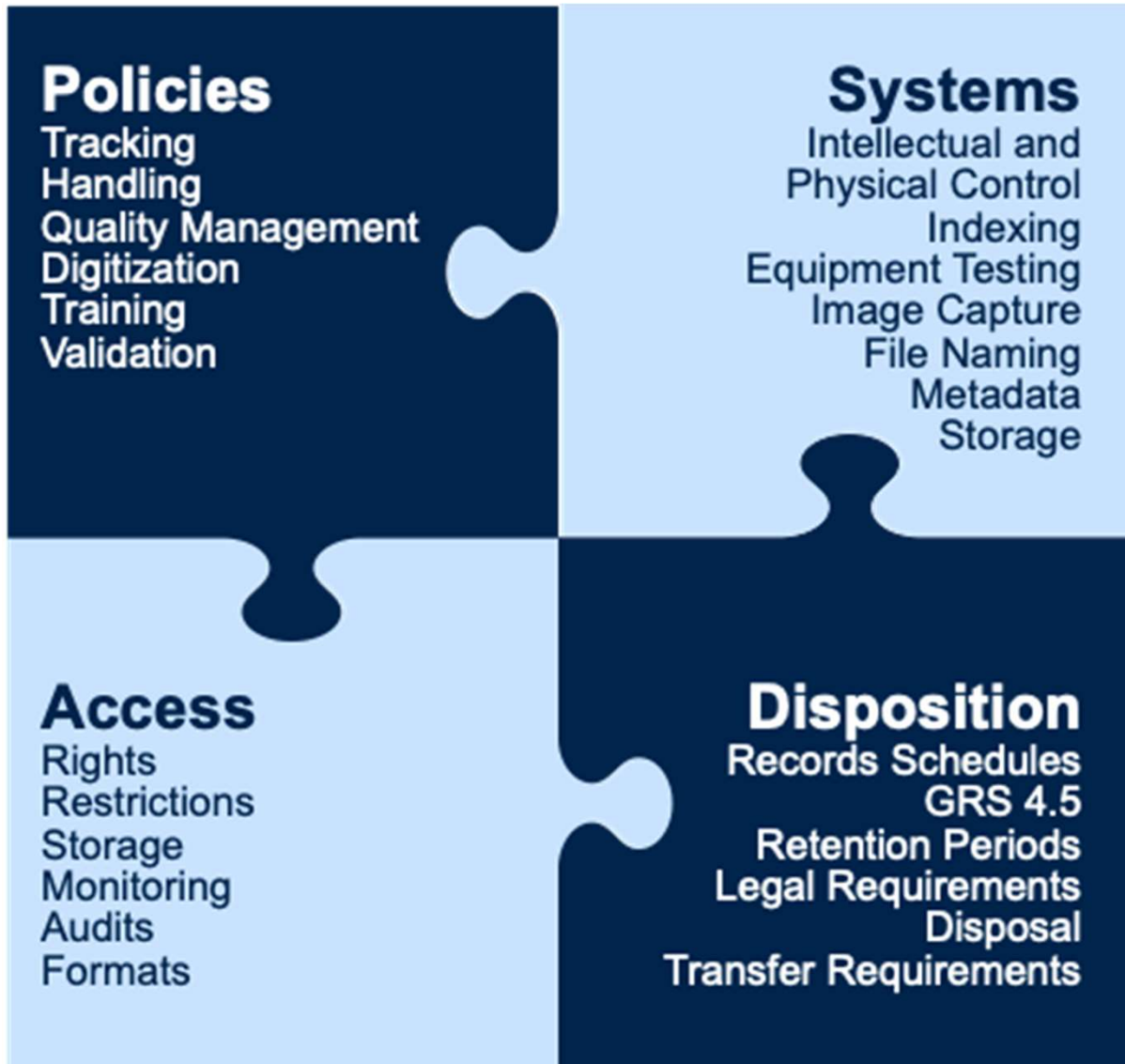
- Upcoming presentations



Success Criteria White Paper

- Assists agencies in digitizing permanent records and meeting federal records management requirements in laws, regulations, and NARA-issued policy.
- Helps agencies adhere to the requirements in 36 CFR 1236 subpart E, and other recordkeeping requirements, to help mitigate many of the risks inherent in digitization.
- Provides high-level success criteria for digitizing permanent records, which are organized around four key concepts: *Policies*, *Access*, *Systems*, and *Disposition*.

<https://www.archives.gov/files/records-mgmt/policy/digitization-success-criteria.pdf>



Policies for:

- Roles and responsibilities
- Procedures for handling source records
- Digitizing source records
- Quality management
- Managing digital records
- Validating digitization processes
- Disposition

What Success Looks Like

Agencies must have systems in place capable of digitizing, managing, accessing, preserving, and transferring permanent records in acceptable digital formats with required metadata.

- Systems for managing source records
- Systems for creating digitized records
- Systems for managing digitized records

What Success Looks Like

- Records must remain usable and retrievable.
- Access is dependent on agencies establishing and maintaining intellectual and physical control of records throughout their lifecycle to support an agency's ability to carry out its business functions.
- Your agency can provide access to meet internal agency needs and accommodate responses to requests for information.
- Access for source records
- Access for digitized records



What Success Looks Like

- Paper and analog source records
- Digital records

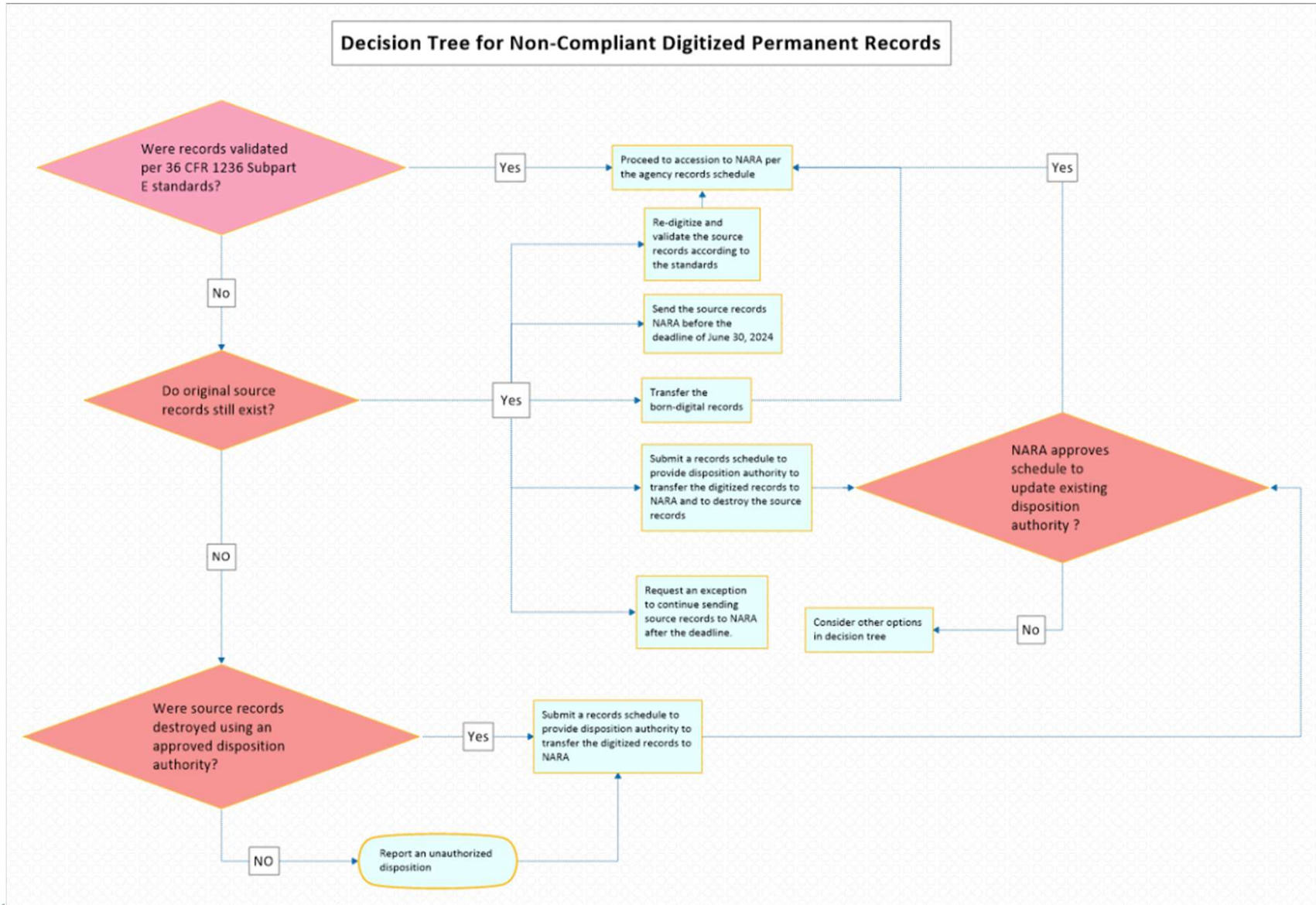


Non-Compliant Digitized Records

- Non-compliant digitized records do not meet the standards in the regulations.
- Options:
 - Submit a new records schedule
 - Re-digitize and validate the source records according to the standards
 - Transfer the born-digital records
 - Send the source records to NARA before June 30, 2024
 - Exception request process: [NARA Bulletin 2020-01](#)
- Media-neutral records schedules

<https://www.archives.gov/records-mgmt/policy/non-compliant-digitized>

Non-Compliant Digitized Records





Non-Compliant Digitized Records

- How will NARA determine whether or not to accept the previously digitized records in the new records schedule?
- What other guidance or resources related to digitized records are available?
- Is there anything agencies can do to make previously digitized records comply with the standards?
- What do agencies do with previously digitized film records or records on other media not yet covered by the digitization standards?



Quality Management

- Quality management (QM) is the overall management function and underlying activities that determine quality
- Quality assurance (QA) is a proactive quality management (QM) activity focused on preventing defects.
- A QA program is heavily dependent on quality control (QC) data to search for patterns and trends.



DIGITIZATION QUALITY MANAGEMENT GUIDE

National Archives and Records Administration
October 2023

<https://www.archives.gov/files/records-mgmt/policy/digitization-quality-mgmt-guide.pdf>



Next: Digitization Regulations for Film Records

- The technical specifications will be taken from FADGI 3-star (as the minimum) for microfilm, radiographs, transparencies, color and black and white negatives, and aerial film.
- Will require a greater level of technical expertise due to the complex nature of film materials.
- We recommend that source records be transferred to NARA as soon as possible before the deadline.
- Dynamic media such as audio, video, and motion picture are even more complex due to a lack of accepted standards.



December 13, 2023 • 11am ET

RECORDS MODERNIZATION WORKSHOPS

JOIN US FOR THE SECOND SERIES
OF VIRTUAL LEARNING SESSIONS



DECEMBER 13: MICHAEL HORSLEY, *Electronic Records
Policy Analyst, NARA* — **The New Federal Digitization
Regulations: A Behind The Scenes Look**



QUALITY
ASSOCIATES
INCORPORATED
A KONICA MINOLTA COMPANY

<https://www.qualityassociatesinc.com/records-modernization-center/educational-events/>

December 14, 2023 11:00am-1:00pm ET



DIGITIZATION BEST PRACTICES

<https://digitalgovernment.com/events/digitization-best-practices/>



Webinar on Non-Compliant Permanent Digitized Records FAQ

Wednesday, January 10, 2024 1:30 PM - 3:00 PM

(UTC-05:00) Eastern Time (US & Canada)

<https://intellor.webex.com/weblink/register/r66bfc912e55b6a7806a4694c64e41df>

2



<https://www.archives.gov/records-mgmt/policy/digitization>

Digitization of Federal Records

Federal agencies are moving toward an electronic government. A digitization program will be part of many agencies' efforts to transition towards fully electronic government. This webpage is a resource for agencies that provides quick access to digitization resources.

Contact rmstandards@nara.gov with any questions about this page and NARA's digitization guidance.

Digitizing Temporary Records

[36 CFR 1236 Subpart D, Regulations on Digitizing Temporary Records](#)
[FAQ about Digitizing Temporary Records](#)

Digitizing Permanent Records

[36 CFR 1236 Subpart E, Regulations for Digitizing Permanent Records](#)
[Success Criteria for Digitizing Permanent Records](#)
[FAQ about Non-Compliant Permanent Digitized Records](#)

Digitization Guidance

[General Records Schedule 4.5: Digitizing Records](#)
[FAQ about General Records Schedule 4.5](#)

Digitization Resources

[Digitization Quality Management Guide](#)
[FADGI 2022 Guidelines](#)
[OpenDICE](#)

Transfer of Electronic Records

[36 CFR 1236 Subpart F, Transfer Metadata Format Table](#)
[Accessioning Guidance and Policy](#)
[Finding Aid Requirements](#)
[Electronic Records Accessioning Support Tools](#)
[Webinar on Preparing Transfer Requests in](#)

Digitization Services

[GSA's Document Conversion Services Special Item Number \(SIN\)](#)





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Annual RM Reporting for CY 2023

Don Rosen

Director, Records
Management Oversight
and Reporting

Cindy Smolovik

Supervisor, Records
Management Oversight
and Reporting



Annual RM Reporting for CY 2023

- **What:**

1. **Senior Agency Official for Records Management Report**

June 30, 2024 deadlines, data management strategies, RM program goals, incorporation of digitization standards and social media strategies

2. **Federal Electronic Records and Email Management Report**

Maturity model unchanged

3. **Records Management Self-Assessment**

Scoring unchanged

New questions based on new digitization regulations and standards and estimates of the volume of permanent electronic records and email

4. **Data Call for Permanent Records and Digitization**

- **When:**

January 8 through March 8, 2024

- **Next:**

1. Watch for AC Memo announcing opening day on January 8
2. Watch for *two separate* links from the survey tool

- **Questions:**

rmsselfassessment@nara.gov



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Safeguarding NATO Equity within Federal Records Centers

Rashad Shakir

Information Security & Controlled Unclassified
Information Program Manager



This briefing serves as an introduction to ISOO Notice 2023-002 and its role in reshaping how classified NATO equity shall be identified and safeguarded going forward.

[ISOO Notice \(IN\) 2023-002](#): *Handling NATO Information during Automatic Declassification Processing* provides updated guidance to agencies for the proper identification and safeguarding of NATO classified information encountered in records under review for automatic declassification.



Prior to the issuance of IN 2023-002, agencies were identifying and reviewing NATO classified equity in records eligible for declassification review in accordance with IN 2009-06: *Handling NATO Information during Automatic Declassification Processing*.

Returning records with marked classified NATO equity to the Washington National Records Center (WNRC) for continued storage was contrary to the United States Security Authority to NATO (USSAN) 1-07, “Implementation of North Atlantic Treaty Organization Security”. Before 2023, the WNRC was not a NATO Sub-Registry or Control Point.

Before 2023, returning records marked with classified NATO equity to the WNRC was a security violation requiring reconciliation between NARA’s Federal Records Centers Program (FRCP), the owner of the records, and the Central U.S. Registry (CUSR).



IN 2023-002 establishes a new path forward for identifying and safeguarding marked NATO classified equity during declassification review. In summary...

IN 2009-06: *Handling NATO Information Identified during Automatic Declassification Processing* misidentified the presence of a NATO registry number as a quasi-authenticator/validator for the presence of NATO classified equity. IN 2023-002 corrects this error.

NATO registry records are marked with a unique alphanumeric identifier located in the upper right corner of the cover page and by a NATO security designation. NATO Secret and above are accountable.

*NATO records classified at the CONFIDENTIAL and NATO RESTRICTED levels do not call for NATO Registry numbers, but still require safeguarding, storage, and handling as NATO classified material. The absence of a NATO registry number on NATO classified material **never** implies the overall NATO classification markings of the record do not apply or are otherwise in question.*

Security requirements for access, protection, and declassification review continue to apply and will be enforced pursuant to applicable U.S. and NATO security directives.



IN 2023-002 further provides safeguarding guidance when encountering NATO classified equity while conducting declassification reviews.

This framework includes instructions for reviewing and safeguarding records for declassification under divergent scenarios to include...

- *NATO classified records in the custody of the originating department/agency and not yet legally transferred to NARA per the Federal Records Act, either within department/agency custody or stored with NARA's FRCP.*
- *NATO classified records that will not be accessioned by NARA.*
- *NATO classified records already accessioned by NARA.*
- *NATO classified information found within a U.S. Government originated record.*

Important Takeaways



Records with classified NATO markings must be segregated from records with U.S. classified markings.

When encountering marked NATO classified records in agency collections commingled with non-NATO records, segregate the NATO classified records from U.S. classified records. Notify and coordinate the transmission of the identified records with the NATO sub-registry authority within your agency, department, or command in accordance with U.S. and USSAN 1-07 security regulations.

Agencies with records containing Classified National Security Information stored with the FRCP shall establish a NATO point of contact with the FRCP and the Central U.S. Registry to facilitate the recovery of records with marked NATO equity.

For NATO classified documents already accessioned by NARA, tab the document with an SF 715 Declassification Review Tab, indicated as a referral to "NARA" in field 9 of Part A of the SF 315 with an indication of "NATO" in field 8. NARA will segregate the document during processing.



If you are involved in managing classified records stored at NARA or within the FRCP please review IN 2023-002 on [archives.gov/isoo/notices](https://www.archives.gov/isoo/notices).

Questions regarding classified permanent records at NARA are addressed by Don Mcilwain at don.mcilwain@nara.gov.

Questions regarding classified records within the FRCP are addressed by Krista Donnelly at krista.donnelly@nara.gov.

Questions regarding security policy within the FRCP are addressed by Rashad Shakir at rashad.shakir@nara.gov.

Questions regarding the handling of NATO classified information policy and procedures within the U.S. are addressed by Doris Brown at the Central U.S. Registry at doris.r.brown2.civ@army.mil.



General Q&A

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NEXT MEETING

Tuesday

February 13, 2024

1:30 pm EST/10:30 am PST

All upcoming BRIDG meeting dates
and previous recordings/slides are at:
[archives.gov/records-mgmt/meetings/index.html](https://www.archives.gov/records-mgmt/meetings/index.html)



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Technical Difficulties Please Stand by

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