

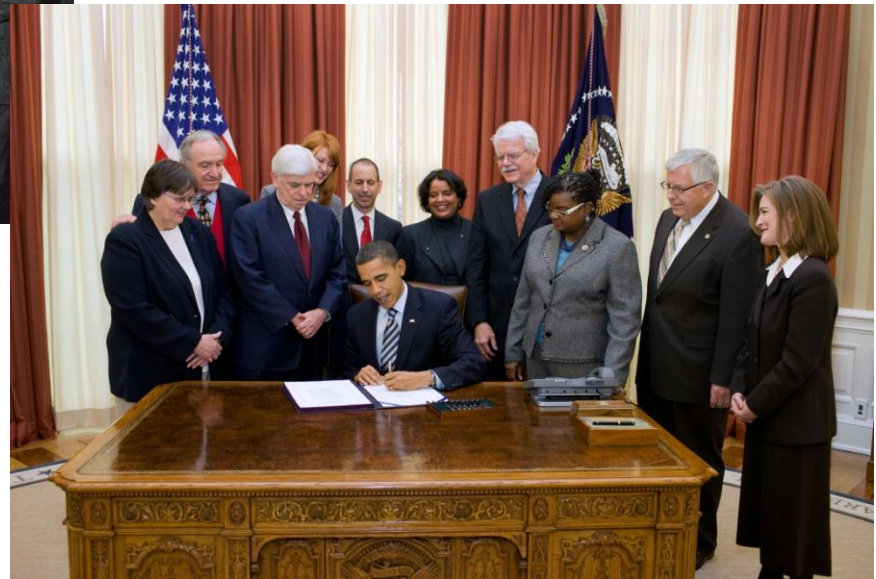
Implementing the Managing Government Records Directive

Best Practices Discussion Council of Federal Executive Secretariats

March 5, 2013

**Office of the Chief Records Officer
National Archives and Records Administration**

Presidential Memorandum



THE WHITE HOUSE
Office of the Press Secretary

For Immediate Release

November 28, 2011

November 28, 2011

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

SUBJECT: Managing Government Records

Section 1. Purpose. This memorandum begins an executive branch-wide effort to reform records management policies and practices. Improving records management will improve performance and promote openness and accountability by better documenting agency actions and decisions. Records transferred to the National Archives and Records Administration (NARA) provide the prism through which future generations will understand and learn from our actions and decisions. Modernized records management will also help executive departments and agencies (agencies) minimize costs and operate more efficiently. Improved records management thus builds on Executive Order 13589 of November 9, 2011 (Promoting Efficient Spending), which directed agencies to reduce spending and focus on mission-critical functions.

When records are well-managed, agencies can use them to assess the impact of programs, to reduce redundant efforts, to save money, and to share knowledge within and across their



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:

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Cybersecurity

NARA gets OMB directive: oversee revamping of fed records management

By Rutrell Yasin | Aug 28, 2012

The National Archives and Records Administration will oversee the development of a robust records management framework based on cloud architecture, secure storage and archival technology, according to a new Office of Management and Budget directive.



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Is a paperless government by 2019 too much to ask?

By Matthew Weigelt | Aug 27, 2012

Bluntly put, a paperless government in seven years will be very hard to achieve -- although the National Archives and Records Administration does suggest the grand vision, a records management company expert said Aug. 27.

President Barack Obama released a **records management directive** Aug. 24, which handed agencies two goals.

One is that the federal government be paperless by Dec. 31, 2019. Agencies will manage all their permanent records electronically--to the fullest extent possible--transfer and accessioning by NARA in an electronic format. Officials must have done so by Dec. 31, 2013.

IN CONTEXT

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Open government through electronic records

The recently-enacted Presidential Memorandum on records management is an effort to reform records management policies and practices in documenting agency actions and decisions -- but what does it really mean?



Chris Hohman
Solution Manager - RIM and Compliance
Perceptive Software

Feedback

E-mail Author

Article Info

 Published: Dec 12, 2012
 Categories: ECM, Records

Response to the 2012 Presidential campaign trail proved that the media, the American people and the government itself demand ready access to government records. Tax records, emails and even birth certificates are expected to be well-preserved, correct and readily available. Whether or not the requests and demands are warranted, the natural effects of efficient recordkeeping (namely integrity, authenticity and reliability) are not only advisable, but are crucial to open government.

"Records are the foundation of open government, supporting the principles of transparency, participation and collaboration," said Archivist of the United States David S. Ferriero in a 2012 press release. "Well-managed records can be used to assess the impact of programs, to improve business processes and to share knowledge."

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The Presidential Memorandum on managing government records was signed on November 9, 2011. This Memorandum is an effort to reform records management policies and practices in documenting agency actions and decisions. It serves to direct the records management activities by moving from paper to electronic.

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White House issues records management directive

August 27, 2012 | By Molly Bernhart Walker

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Master Copies of Electronic Records in NARA's Archives. Image: NARA

The Obama administration issued a comprehensive records management directive Aug. 24, which sets a variety of records management goals for agencies while previewing further guidance and rules from the National Archives and Records Administration.

The first deadline for agencies comes Nov. 15, according to a [memorandum](#) (.pdf) from Acting Director of the Office of Management and Budget Jeffrey Zients and Archivist of the United States David Ferriero. By that date each agency must designate a

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The Managing Government Records Directive - What Does it Mean to You?

By Mark M.

Sector Solutions

September 2012

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August 24, 2012

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MEMORANDUM

INDEPENDENT

From OMB

SUBJECT: Managing Government Records Directive

This Directive

electronic records


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Expectations from Iron Mountain's Survey Compared to the Government Records Directive

Although federal President Obama differed significantly from his predecessor, the expectations for the Managing Government Records Directive (MGRD) are similar.

As a follow-up to the President Obama's Executive Order on the Budget and Control, the MGRD is a critical component of the federal government's goal to manage electronic records.

The implications of the MGRD are significant for the federal world. Federal agencies are encouraged to manage electronic records in a way that is consistent with the MGRD.

The directive also encourages the use of technologies, such as cloud computing, to manage records. This is a significant step forward for the federal government.

Enhancing Federal Records Management

Potential benefits of the MGRD include:

- More efficient decision-making
- Support for policies

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On Demand Webcast

Managing Government Records Directive: Next Steps for Compliance

Wed, October 17th, 2012 at 2:00pm EST

On August 24th, the Managing Government Records Directive was issued to mark 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. Attend this complimentary i360Gov educational webinar and learn from leading experts how to implement a robust records management framework to eliminate paper and move decisively toward electronic recordkeeping.

Our panel of experts will share the latest techniques and technologies federal agencies can employ to comply with this Presidential Directive. Specifically you will learn how to:

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Managing Government Records Directive (OMB/NARA M-12-18)

August 24, 2012

Goal #1:

Require electronic recordkeeping to ensure transparency, efficiency, and accountability

Goal #2:

Demonstrate compliance with Federal records management statutes and regulations

Goal #1: Require electronic recordkeeping to ensure transparency, efficiency, and accountability

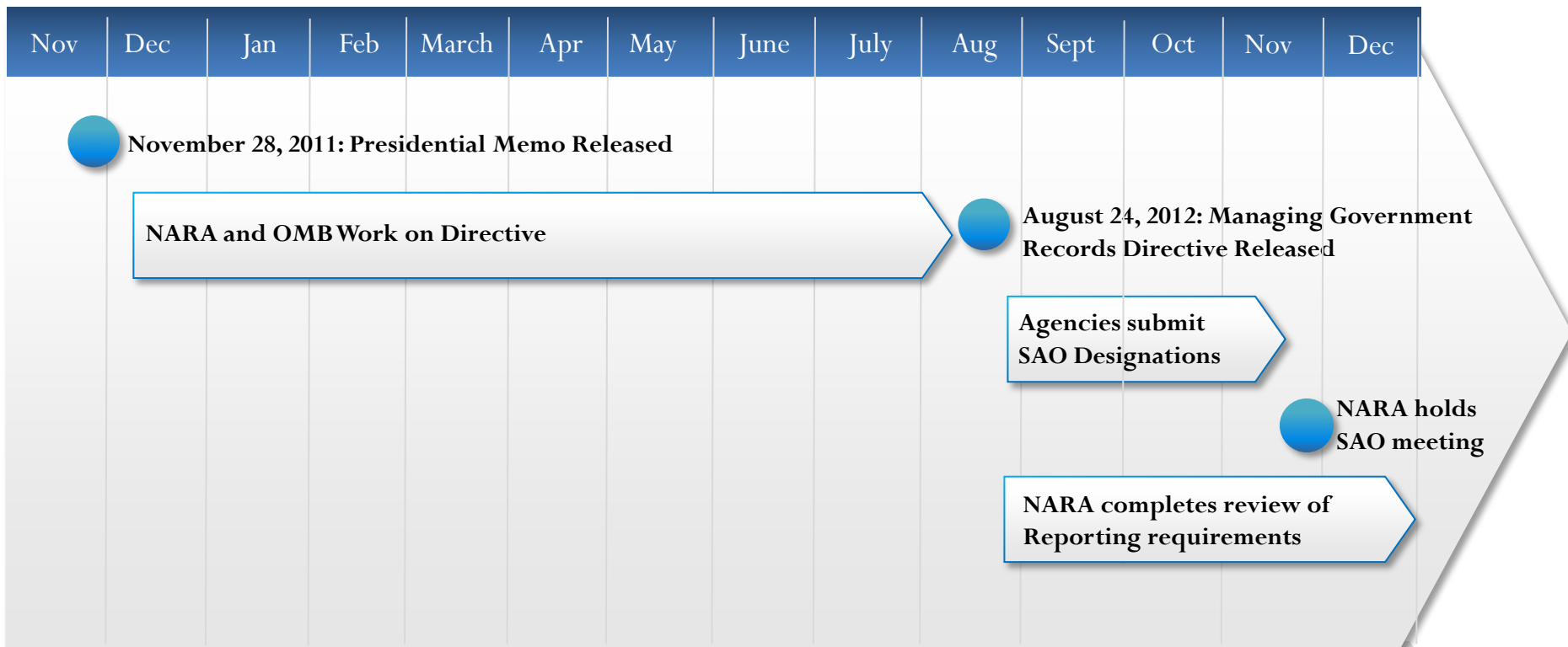
- By 2019, agencies manage all permanent electronic records in electronic formats
- By 2016, agencies manage permanent and temporary email in accessible, electronic format

Goal #2: Demonstrate compliance with Federal records management statutes and regulations

- Role of Senior Agency Officials
- Require training

Managing Government Records Directive

2011 2012



Managing Government Records Directive

By December 31, 2013

NARA issues email guidance

NARA revises transfer guidance

NARA produces plan for automated management of electronic records

NARA issues cloud reporting requirements

NARA evaluates feasibility of "data at rest"

NARA establishes a Community of Interest

NARA identifies RM analytical tool

NARA/OPM establish RM occupational series

Agency Records Officers identify all unscheduled records, regardless of format

SAOs ensure permanent records identified for transfer and reported to NARA

Managing Government Records Directive

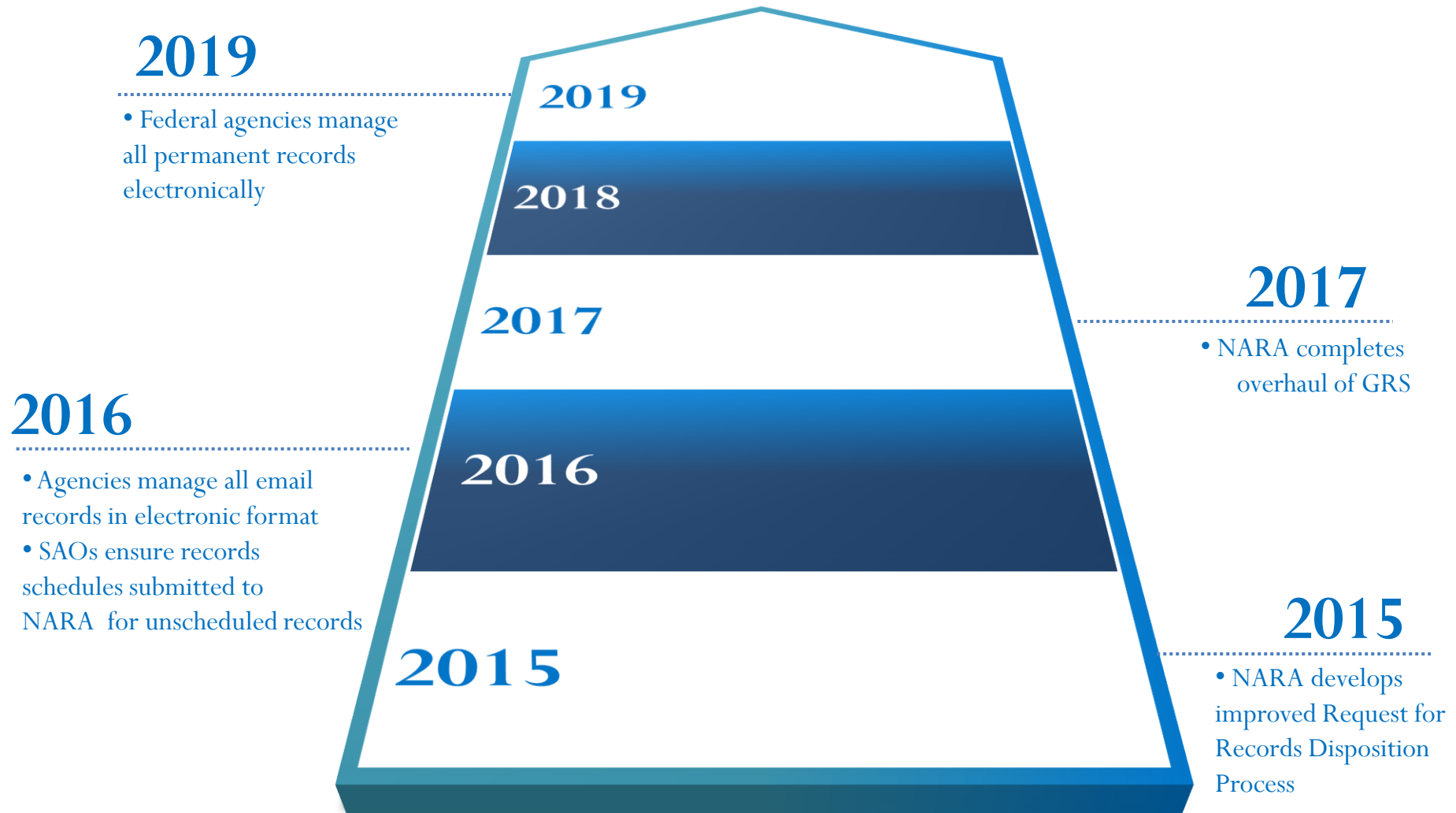
By December 31, 2014

Agency Records Officers hold the NARA training certificate

Agencies establish records management training for all employees

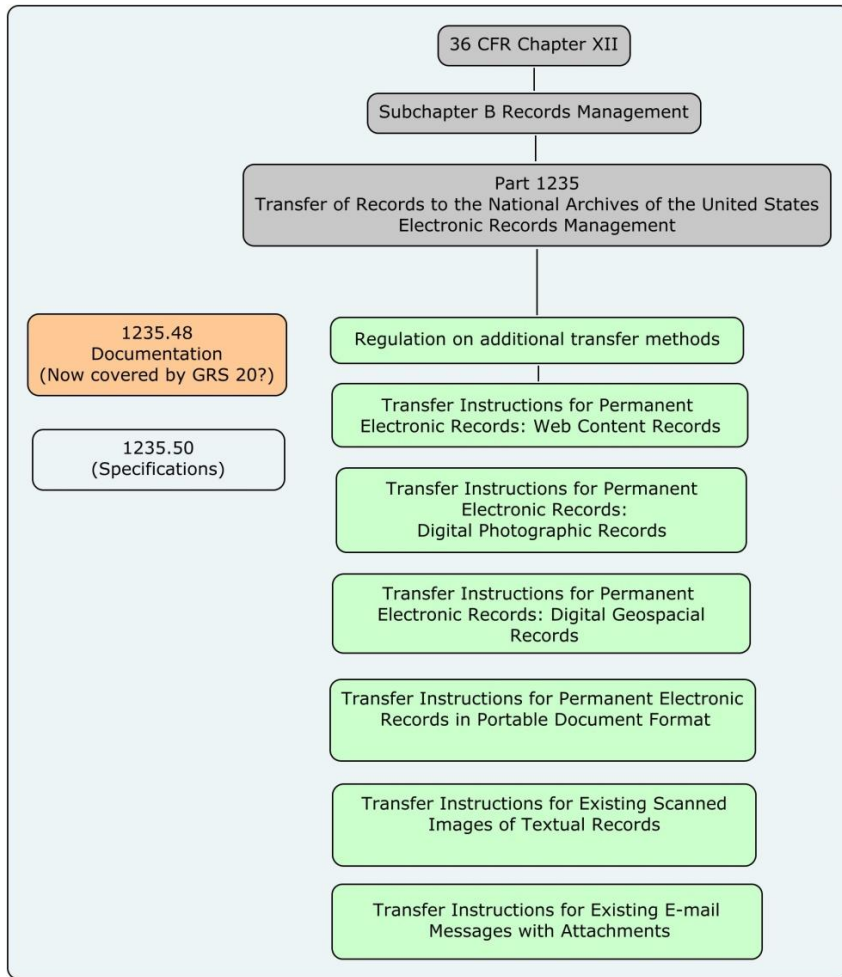
NARA obtains external involvement for developing open sources RM solutions

Managing Government Records Directive



Transfer Guidance

Revised Transfer Guidance



Revise NARA transfer guidance for permanent electronic records

By December 31, 2013, NARA will complete, and make available, revised guidance for transferring permanent electronic records

Transfer Guidance

Evaluation of current guidance: *Completed*

Development of revised structure: *Completed*

Identification and analysis of appropriate formats:
Completed

Publication of core revised guidance for internal
& external review: begins 02/15/2013

Publication of revision guidance supplements
(social media & e-mail): *ongoing*

Categories of E-records

Digital Still
Images

Digital Moving
Images

Digital Audio

Text

Geospatial
Records

CAD

Structured
Data

E-mail

Web & Social
Media

Email Guidance

New Email Guidance

Create new email guidance

By December 31, 2013, NARA will issue new guidance that describes methods for managing, disposing, and transferring email.



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graph TD; A[Guidance is in the process of internal review] --> B[Draft bulletin will be posted on Records Express for public comment following internal review];
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Guidance is in the process of internal review

Draft bulletin will be posted on Records Express for public comment following internal review

Reporting

Reporting

- The Records Management Oversight team reviewed the reporting requirements
- In the process of providing training on completing NARA's Records Management Self Assessment
- Reporting template will be released April, in time for reporting by August 24, 2013

Automated Technologies

Automated Technologies

NARA, the Federal CIO Council and the Federal Records Council will work with private industry and other stakeholders to produce economically viable automated records management solutions.

By December 31, 2013, NARA will produce a comprehensive plan in collaboration with its stakeholders to describe suitable approaches for the automated management of email, social media, and other types of digital record content, including advanced search techniques.

The plan will detail expected outcomes and outline potential associated risks.

NARA's Strategy

- Identify tasks that can be automated
- Identify tools that can be applied to those tasks
- Conduct a pilot
- Identify gaps
- Engage industry to help fill gaps
- Share information across RM community

Identification of Legacy Permanent Records

Identification of Permanent Records

SAO Shall Ensure that Permanent Records are Identified for Transfer and Reported to NARA

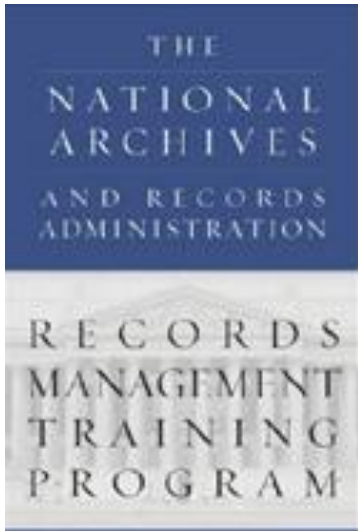
By December 31, 2013, the SAO shall ensure permanent records that have been in existence for more than 30 years are identified for transfer and reported to NARA.



Training

NARA Certificate of Training

Agency Records Officers Must Obtain NARA Certificate of Federal Records Management Training



By December 31, 2014, the designated Agency Records Officer for each agency must hold the NARA Certificate of Federal Records Management Training. New incumbents must possess the certificate within one year of assuming the position of Agency Records Officer. Agency Records Officers are generally responsible for overseeing the day to day agency recordkeeping requirements outlined in 36 CFR 1222.22, Subpart B.

Agency RM Training

Agencies Must Establish Records Management Training



By December 31, 2014, all Federal agencies must establish a method to inform all employees of their records management responsibilities in law and policy, and develop suitable records management training for appropriate staff

Q&A

Contact Information

All Updates on our progress can be found on the *Records Express* blog at <http://blogs.archives.gov/records-express/>

General Questions:

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Presenter:

paul.wester@nara.gov

301-837-3120



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Progress! First SAO Meeting

by Arian Ravanbakhsh on November 29, 2012

Yesterday, we passed one of the first major milestones called for in the [Managing Government Records Directive](#). David Ferriero, Archivist of the United States, convened the first meeting of Senior Agency Officials.

This meeting brought together the agency-appointed Senior Agency Officials (SAO), agency record officers, and NARA staff for the first time. Over 100 people attended the meeting and heard remarks by Archivist Ferriero, Chief Records Officer for the Federal Government Paul Wester, and the head of the Project Management Office for the Directive, Preston Huff. In addition to reviewing the goals and milestones in the Directive, their remarks focused on important role the SAO plays in supporting individual records management programs in Federal agencies. Another important theme was engaging SAOs both within their agency and with our staff to improve records management policies and practices. After the presentations, a wide-ranging question-and-answer session, which included Director of Policy Analysis and Enforcement Donald Rosen, covered specific items of concerns such as the training and reporting requirements spelled out in the Directive.

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