BRIDG
(Bi-monthly Records and Information Discussion Group) Meeting

Tuesday, February 14, 2017

Ask Questions Remotely

Chat via YouTube

Or

Email

RM.Communications@nara.gov

Agenda

- **Jay Trainer**: Introduction of Alina Semo, Director, Office of Government Services (OGIS), and Mark Bradley, Director, Information Security Oversight Office (ISOO)

- **Donald Rosen**: Records Management Oversight and Reporting: Annual Reporting Update

- **Kim Gentile**: Civilian Personal Records Center Mission and Activities

- **Margaret Hawkins:** 2016 Records Management Customer Satisfaction Survey Results

Introduction of New Director's

Jay Trainer

Executive for Agency Services

Agency Services' New Directors

- Alina Semo, Director, Office of Government Services (OGIS)

- Mark Bradley, Director, Information Security Oversight Office (ISOO)

Alina Semo
Director
Office of Government Services (OGIS)

Office of Government Information Services (OGIS)
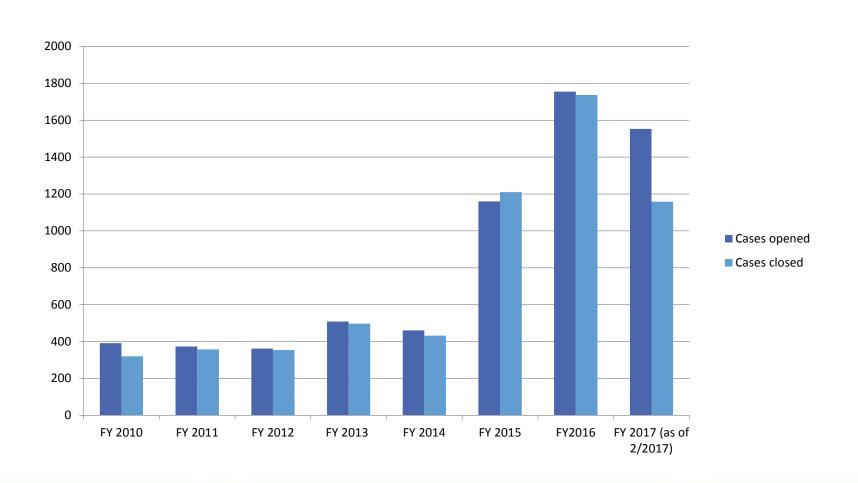
The Federal FOIA Ombudsman

What is OGIS?

- Created by the 2007 OPEN Government Act of 2007
- We provide dispute resolution services to resolve FOIA disputes – as a non-exclusive alternative to litigation
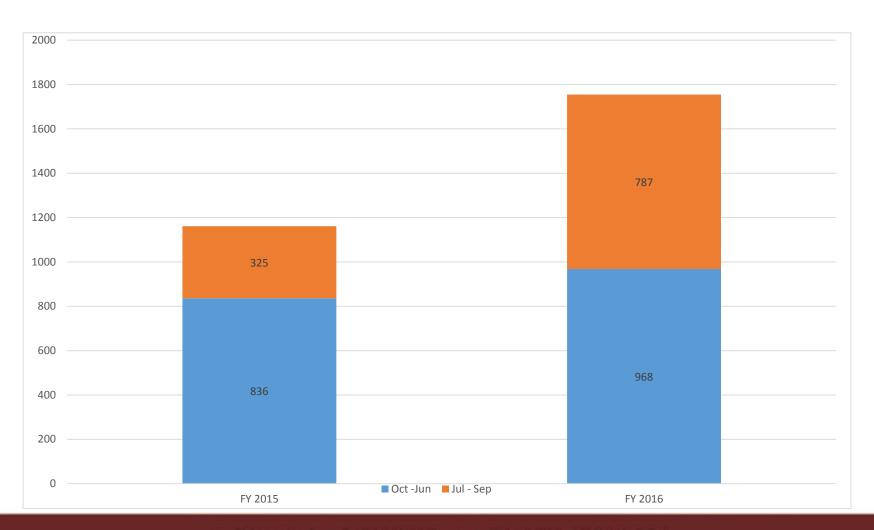- We review agency FOIA policies, procedures & compliance

Dispute resolution

- **What's new?**

- FOIA Improvement Act of 2016 –
  - Signed into law June 30, 2016
  - Requires agencies to notify requesters of the availability of OGIS services when -
    - (a) agencies take additional time to response to a request in cases in which "unusual circumstances" exist
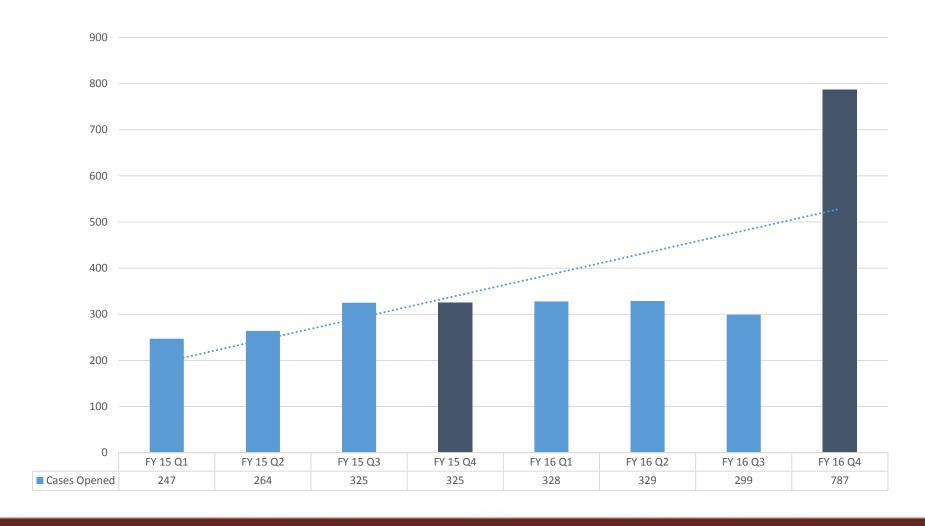   - (b) agencies provide an initial response to a request with an adverse determination

OGIS Caseload

OGIS Cases Opened in FY 2015 and FY 2016

OGIS Cases Opened by Fiscal Year (FY) Quarter

	FY 15 Q1	FY 15 Q2	FY 15 Q3	FY 15 Q4	FY 16 Q1	FY 16 Q2	FY 16 Q3	FY 16 Q4
Cases Opened	247	264	325	325	328	329	299	787

Compliance

- **What's new?**

- FOIA Improvement Act of 2016 –
  - Requires OGIS to "identify procedures and methods for improving compliance" under the FOIA

  - ➢ In FY 2016 – OGIS completed assessments of three agency FOIA programs:
    - ✓ TSA, CBP and USSS
  - ➢ We published "still interested" letters report
  - ➢ We launched self-assessment program

Compliance – Cont.

➢In FY 2017 OGIS plans to complete assessments of agency FOIA programs at Consumer Financial Protection Bureau (CFPB) and US Postal Service (USPS)

➢Any additional volunteers?

Compliance – Cont.

➢Review of agency FOIA regulations
- Required updates by FOIA Improvement Act of 2016

➢ Amended agency FOIA regulations are required to include procedures for engaging in dispute resolution through the FOIA Public Liaison and OGIS.

Proactive Disclosures through Records Management

- The *FOIA Improvement Act of 2016* amends Section 3102 of the Federal Records Act, 44 U.S.C. § 3102

- Requires agencies to establish "procedures for identifying records of general interest or use to the public that are appropriate for public disclosure, and for posting such records in a publicly accessible electronic format."

RMSA FOIA Questions

- Strong records management program is important complement to a successful FOIA

➢ 12 FOIA questions added to this year's Records Management Self-Assessment (RMSA) (Questions ## 26-37)

RMSA Results

- <u>What is OGIS going to do with responses</u>?

    ➢Review and compile them into meaningful data

    ➢Use RMSA results to understand government-wide trends and target issues that merit further OGIS follow-up for the Compliance Team
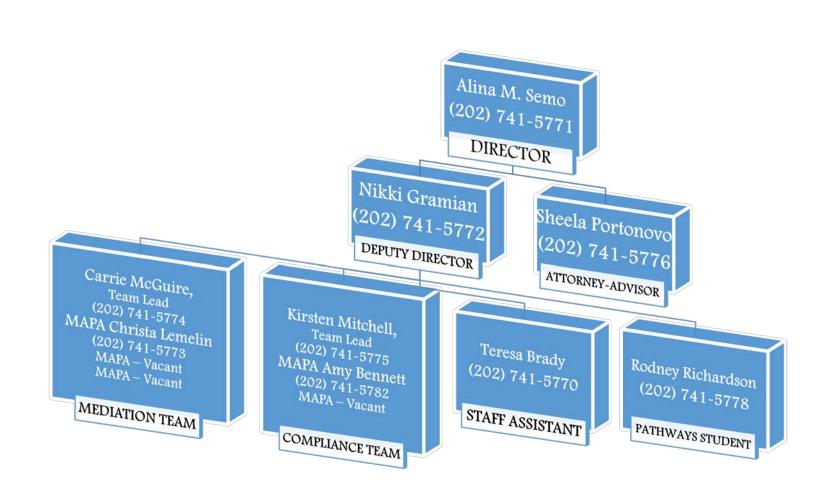
OGIS Dispute Resolution Training

- OGIS offers free dispute resolution skills training for FOIA professionals
  - Generally: twice a year
  - Agency-specific training: upon request

Sunshine Week 2017

OGIS Staff

Alina M. Semo
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DIRECTOR

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(202) 741-5772
DEPUTY DIRECTOR

Sheela Portonovo
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ATTORNEY-ADVISOR

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MAPA – Vacant
MAPA – Vacant
MEDIATION TEAM

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Team Lead
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MAPA Amy Bennett
(202) 741-5782
MAPA – Vacant
COMPLIANCE TEAM

Teresa Brady
(202) 741-5770
STAFF ASSISTANT

Rodney Richardson
(202) 741-5778
PATHWAYS STUDENT

OGIS Contact Information

Website: www.ogis.archives.gov

Email: ogis@nara.gov

blog: https://foia.blogs.archives.gov/

Twitter: @FOIA_Ombuds

Mark Bradley
Director
Information Security Oversight Office (ISOO)

Information Security Oversight Office

- Created in 1978 under Executive Order 12065
- Oversee the Executive Branch's system for classifying, safeguarding, and declassifying classified information
- An organization within the National Archives
- Receive policy guidance from the National Security Advisor
- Primary responsibilities.
  - E.O. 13526, "Classified National Security Information"
  - E.O. 12829, as amended, "National Industrial Security Program"
  - E.O. 13556, "Controlled Unclassified Information"
  - E.O. 13549, "Classified National Security Information Program for State, Local, Tribal and Private Sector Entities"
  - E.O. 13587, "Structural Reforms To Improve the Security of Classified Networks and the Responsible Sharing and Safeguarding of Classified Information"

ISOO FUNCTIONS

- Develop, coordinate and issue implementing directives and instructions

- Maintain continuous liaison with all agency's and conduct on-site reviews of their program management

- Report relevant data regarding each agency's security classification program

- Develop and disseminate security education materials for Government and industry

- Recommends policy changes to the President through the Assistant to the President for National Security Affairs

ISOO Oversight Authority

- ISOO's oversight authority comes from the Presidential executive order: "Director, ISOO shall have the authority to conduct on-site reviews of each agency's program established under this order, and to require of each agency those reports and information and other cooperation that may be necessary."

- Onsite review methods include examination of:
  - Program Management
  - Classification Practices and Procedures to include document reviews
  - Training programs for employees
  - Internal Inspections
  - Security violation handling
  - Classified Information Systems

Classification Management

- Develops security classification policies for classifying, declassifying and safeguarding national security information generated in Government and industry.

- Interagency Security Classification Appeal Panel (ISCAP)

- Public Interest Declassification Board (PIDB)

- Declassification Assessments

- Annual Report/Cost Report

- ISOO Notices

Classification Management

Public Interest Declassification Board (PIDB)

An advisory committee established by Congress in order to promote the fullest possible public access to a thorough, accurate, and reliable documentary record of significant U.S. national security decisions and activities

Advises the President and other executive branch officials on the systematic, thorough, coordinated, and comprehensive identification, collection, review for declassification, and release of declassified records and materials that are of archival value, including records and materials of extraordinary public interest.

Provides recommendations to the President for the identification, collection, and review for declassification of information of extraordinary public interest that does not undermine the national security of the U.S.

Classification Management

Information Security Classification Appeals Panel (ISCAP)

Created by President Clinton in E.O. 12958 in 1995

The ISCAP provides the public and users of the classification system with a **forum for further review of classification decisions**

Four functions:
- Decide on appeals for classification challenges
- **Approve exemptions** to declassification at 25, 50, and 75 years
- Decide on **mandatory declassification review (MDR) appeals**
- Inform senior agency officials and the public of its decisions
  - **Website for declassified documents**

Operations & Industrial Security

Evaluate the effectiveness of the security classification programs established by Government and industry to protect information vital to our national security interests.

National Industrial Security Program Policy Advisory Committee (NISPPAC)

State, Local, Tribal and Private Sector Policy Advisory Committee (SLTPSPAC)

Conduct On-Site Reviews of Executive Branch Agency classified information programs

Operations & Industrial Security

National Industrial Security Program Policy Advisory Committee

Comprised of both Government and industry representatives

Is responsible for recommending changes in industrial security policy through modifications to Executive Order 12829, its implementing directives, and the National Industrial Security Program Operating Manual

Advises the Information Security Oversight Office on all matters concerning the policies of the National Industrial Security Program (NISP), including recommended changes to those policies, and serves as a forum to discuss policy issues in dispute.

Operations & Industrial Security

State, Local, Tribal and Private Sector Policy Advisory Committee

Comprised of Federal Government and State, Local, Tribal, and Private Sector entities involved in the sharing of Classified National Security Information, the SLTPSPAC recommends policies and procedures designed to remove undue impediments to information sharing with those entities responsible for securing the nation's critical infrastructure and key resources.

Controlled Unclassified Information: Executive Order 13556

- Established CUI Program

- ISOO serves as the Executive Agent (EA) to implement the E.O. and oversee department and agency actions to ensure compliance

- An open and uniform program to manage all unclassified information within the executive branch that requires safeguarding and dissemination controls as required by law, regulation, and Government-wide policy

CUI Executive Agent Functions

• Development and issuance of implementing directives and guidance, as needed to implement EO 13556.

• Approval and establishment of initial CUI categories and subcategories based on agency submissions.

• Creation of a publicly available registry of all approved CUI categories and subcategories, and markings of CUI and their definitions, along with applicable safeguarding, dissemination, and decontrol procedures.

• Oversight of department and agency actions to include review of agency compliance plans to monitor progress towards proper implementation of the Order and the initial implementing directive.

• Establish deadlines for phased implementation of the CUI program by agencies.

• Publish an annual report for the first five years following the date of the order and biennially thereafter.

Contact Information

Information Security Oversight Office

National Archives and Records Administration

700 Pennsylvania Avenue, N.W., Room 100

Washington, DC 20408-0001

202 357 5250

www.archives.gov/isoo

www.archives.gov/cui
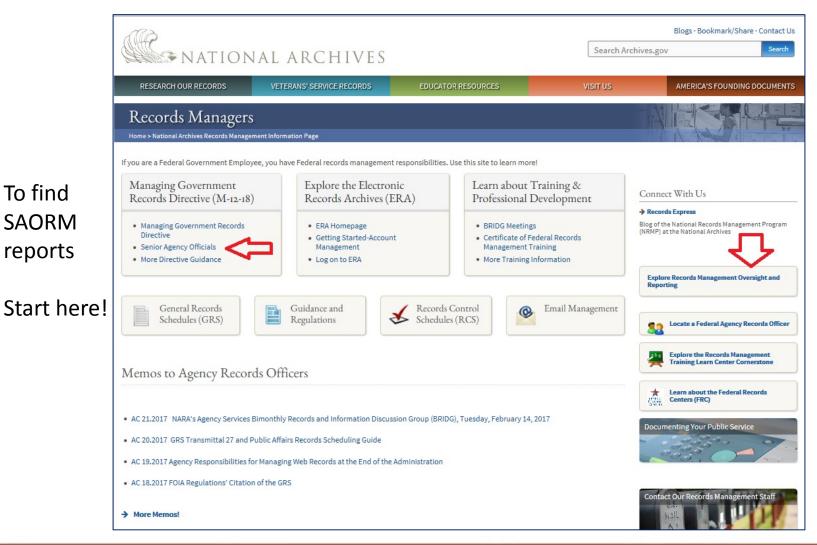
Annual Reporting for 2016

- Reports are due **March 17, 2017**

- What reports?
  - Senior Agency Official Report
  - Records Management Self Assessment
  - Federal Email Management Report

- You should already have
  - Template for Senior Agency Official Report
  - Two Qualtrics links (RMSA and Email)

- CONTACT US TODAY - if you don't

What happens next?

- Posting individual reports to NARA's website
  - Senior Agency Official Reports
  - Federal Email Management Reports
- 2016 RMSA Annual Report
- 2016 SAORM Summary Report
- Federal Email Management Summary Report

https://www.archives.gov/records-mgmt

To find SAORM reports

Start here!

To find all reports

Start here!

Web posted SAORM Reports

Will look exactly as received

Senior Agency Official for Records Management
2016 Annual Report

The OMB/NARA *Managing Government Records Directive* (M-12-18) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report to NARA. This report demonstrates how your organization is achieving the goals of the *Directive* and other important initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in meeting the goals of the *Directive*, including implementing proper email management and transitioning to electronic recordkeeping. Additionally, NARA uses the report for information sharing purposes to provide best practices and model solutions with Federal agencies.

The reporting period begins on January 9, 2017 and reports are due back to NARA no later than March 17, 2017.

NARA plans to post your 2016 SAORM report on the NARA website upon receipt. Please ensure that your agency's report is a publicly releasable version. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies.
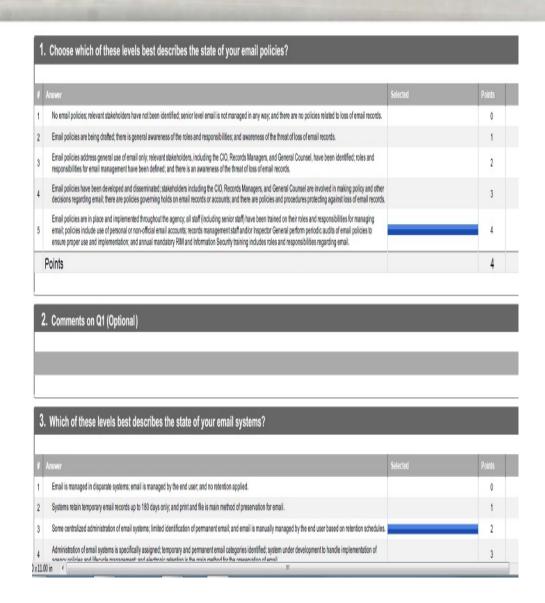
Instructions for Reporting

- This template covers progress through December 31, 2016.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the questions/items below and send the report to PRMD@nara.gov. Include the words "SAORM annual report" in the subject line of the email.
- If you are responsible for records management in multiple agencies, components, or bureaus, please determine how you will submit reports to NARA. While NARA prefers a comprehensive report, you may submit separate reports for each component.

Senior Agency Official for Records Management 2016 Annual Report

Web posted Email Reports

- Will look something like this

- It is a little different than what you received when you hit the submit button in the survey tool

- We will be sending you a pdf of these

https://www.archives.gov/records-mgmt/resources/inspections.html

New webpage for the RM Oversight and Reporting Team – start here to find links to Inspection, RMSA, Email and SAORM reports

https://www.archives.gov/records-mgmt/agency/sao-reporting

https://www.archives.gov/records-mgmt/email-management-0

http://www.archives.gov/records-mgmt/resources/self-assessment.html

For Assistance

- rmselfassessment@nara.gov
  - Qualtrics issues
  - RSMA
  - Federal Email Management Report
- prmd@nara.gov
  - Senior Agency Official Report
  - Senior Agency Official designations
  - Other questions about Senior Agency Officials

Questions?

- Contact us at:
  - Donald.Rosen@nara.gov
    - 301-837-3426
  - Cindy.Smolovik@nara.gov
    - 682-465-3021
  - Evangela.Wimbush-Jeffrey@nara.gov
    - 301-837-0730

National Personnel Records Center

- Civilian Personnel Records Program (CPR) is under the Federal Records Center Program and is part of the National Personnel Records Program
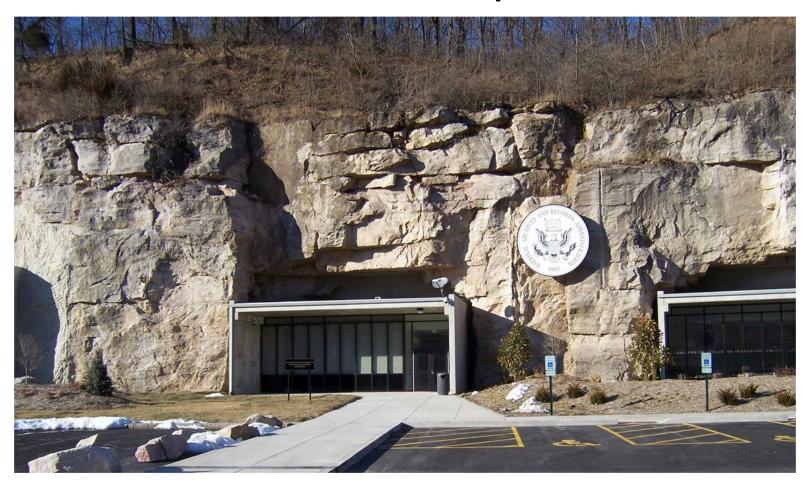
- NPRC is the central repository of personnel-related records for both the military and civil services of the United States Government

- Our mission: Make Access Happen

Civilian Personnel Records Center
Valmeyer, IL
Metropolitan St. Louis

Our Facility

Our Facility

Our Facility

- September 2008 construction completed and move of records began in October 2008

- Additional three bays added in 2009

- Total available storage 2.5 million cubic feet

- Office areas can support 100 staff members

Getting Around Our Big Facility

Civilian Personnel Records Program Holdings
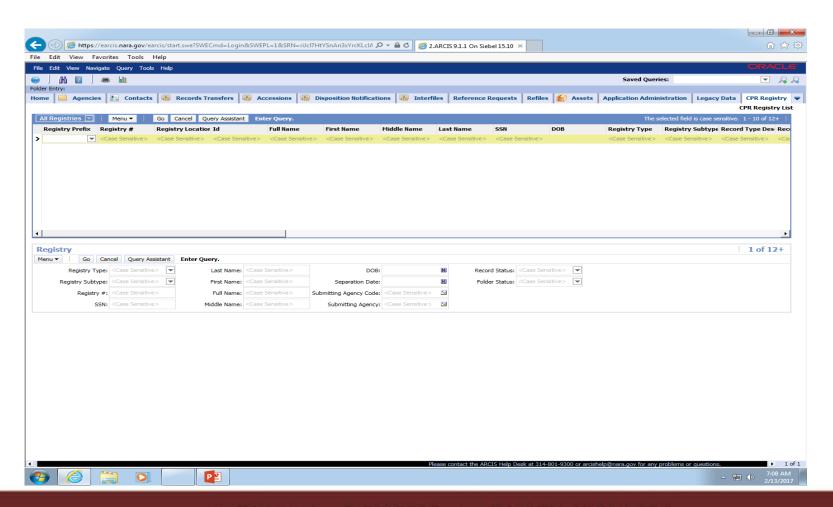
- Employee Medical Folders are housed at CPR
  - Scheduled temporary records with a 60 year retention

- Official Personnel Records 1974 forward are housed at CPR
  - Scheduled temporary records with a 65 year retention

- Official Personnel Records prior to 1974 are housed at NPRC/St. Louis
  - Service prior to 1952 are transferred to the Archives
  - Service 1952 and later are permanent records not yet transferred

Civilian Personnel Records Program Holdings

- Pay Records (Various Agencies)

- Military Treatment Records and Dependent Medicals
  - Requests are received and worked at the Military Personnel Records Center
  - Records are couriered daily for work

OPF/EMF: The CPR Registry

OPF/EMF: The CPR Registry

- OPF/EMF transfers do not require an SF135

- All folders are entered into the CPR Registry housed in ARCIS

- All work on OPF/EMF is done at the folder/civilian level

- ARCIS CPR Registry includes the owner of the record and the submitting agency

OPF/EMF Services We Perform

- Processing incoming paper records
  - Validating incoming records to manifests
  - Identifying submitting agency
  - Identifying owner of the record
  - Keying folder data into the CPR OPF/EMF Registry
  - Labeling OPF/EMF with identifying information including registry number
  - Shelving in registry number order

- Records Storage

- Receive electronic transfer of eOPF for inclusion in the NPRC Instance

OPF/EMF Services We Perform

- Provide Loan and Transfer of OPF/EMF to Federal Agencies
  - eOPF Agencies submit request through the eOPF system
  - Paper Agencies submit request on SF127/SF184
  - All folders are sent out tracked (UPS or USPS)

- Provide responses to requests for information from separated civilians, third parties and FOIA
  - Copies, transcripts of service and certified copies for all non-Archival records
  - Paper and eOPF records

Storage

Service Time to Customers

- Loan and Transfer Folder to Agency

    - Request for record received and searched – 1 day to mailroom
    - Mailroom enters tracking data and provides package to shipper

- Public Requests

    - Request for copies received, searched and copies made – 10 days or less to mailroom
    - Request for information or transcript of service received, searched and created – 10 days or less to mailroom
    - Mailroom posts and hands off package to shipper

Digitization Service

- Provide digitization for Agency needs

- Examples of projects completed or ongoing:

  - Official Personnel Folders
  - Digitize interfiles to eOPF
  - Service Treatment Records
  - Aperture cards
  - ID cards

Stratified Billing

- Agency stratified billing began in FY11 at OPM direction

- Services generated by an Agency result in charges through National billing

- Storage charges are borne by the Owner of the Record (OPM, USPS or Non-Title 5 Agency)

Stratified Billing
Basic Premise

- If the work is sent or generated by an agency, it will be billed to the agency

- If the work is generated by the civilian employee, authorized by them or is FOIA, it is billed to the owner of the record

- Storage is billed to the owner of the record

- FYI—eOPF charges are charged to the eOPF Data Warehouse Program

Stratified Billing
Non-record Owner

- Typical charges most Agencies will see:

  - Transfers in– OPF/EMF
  - Loans and Transfers (SF127 or SF 184)
  - Refile of returned folders

- Other charges an Agency may incur:

  - Transcripts of Service (if a restricted Agency is requested)
  - Form completion or pay records

Stratified Billing
Record Owner

- Similar types of charges as for the non-record owner

- Additional charges as the owner of the record:

  - Storage charges will be assessed

  - Charges for separated civilian or public requests for record copies or information

Key Reminders

- Do not send any classified records

- Send your folders by tracked mail and double wrap

- Include a manifest for incoming records to allow us to validate all have been received (no SF135 is required)

- Include full Agency name, address and contact name/telephone on all manifests and SF127/SF184

Contact Information

- OPF/EMF Transfers:

    Civilian Personnel Records Center

    1411 Boulder Boulevard

    Valmeyer, IL 62295

    stlcpr.transfer@nara.gov

- Loans and Transfers SF127/184:

    618-935-3014 (Fax)

- Status Check: stlcpr.reference@nara.gov

- Kim Gentile, Asst. Director for Civilian Personnel Records, 618-935-3005 or kimberly.gentile@nara.gov

"Thank You for Letting Us Serve You"
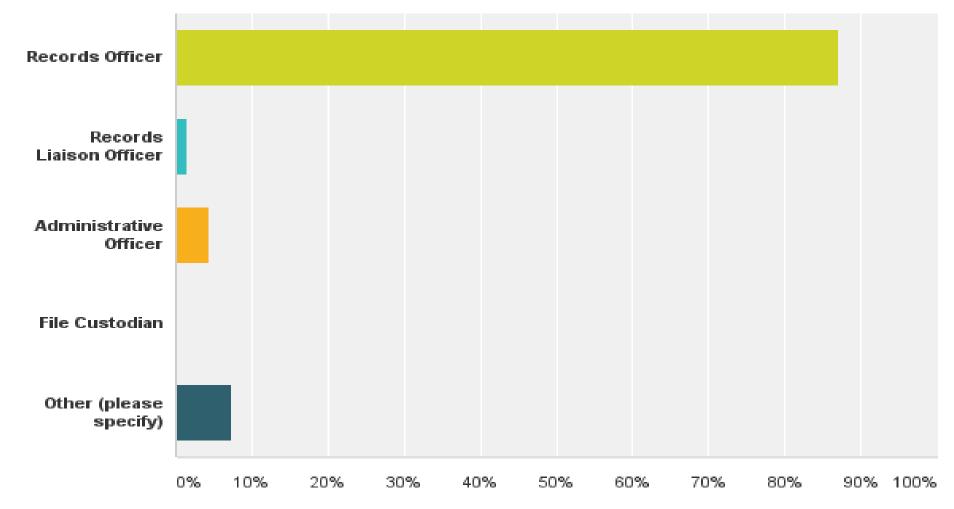
Records Management Customer Satisfaction Survey

Margaret Hawkins
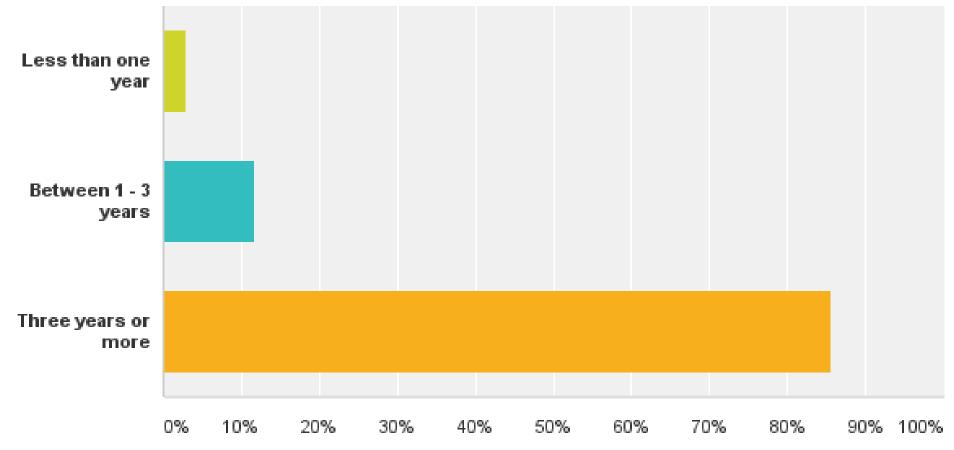
Director, Records Management Operations, Office of the Chief Records Officer
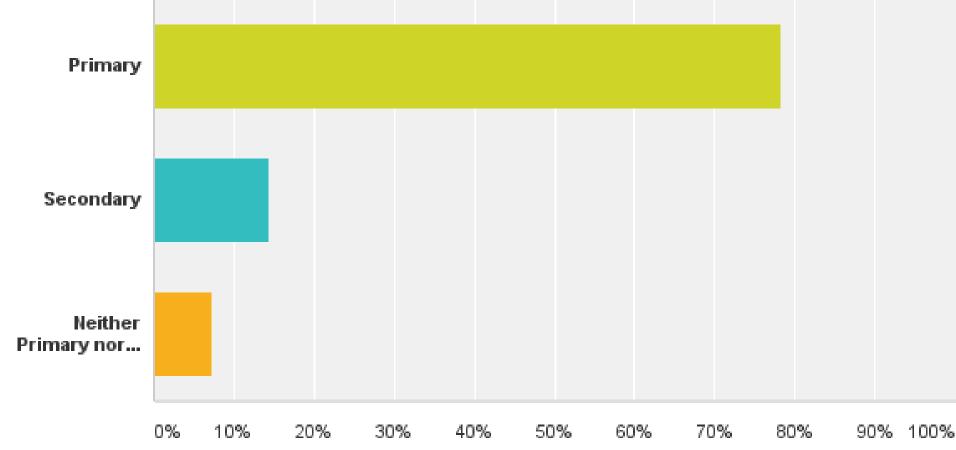
1. What is your position?
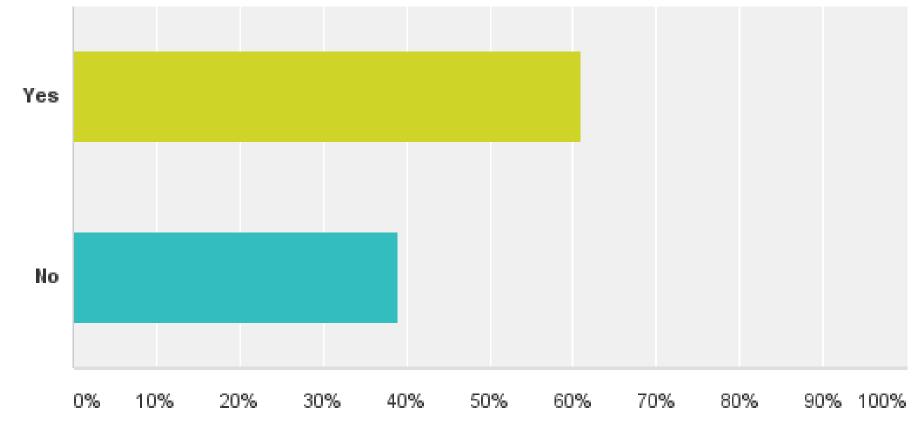
2. How long have you worked in records management with the Federal Government?
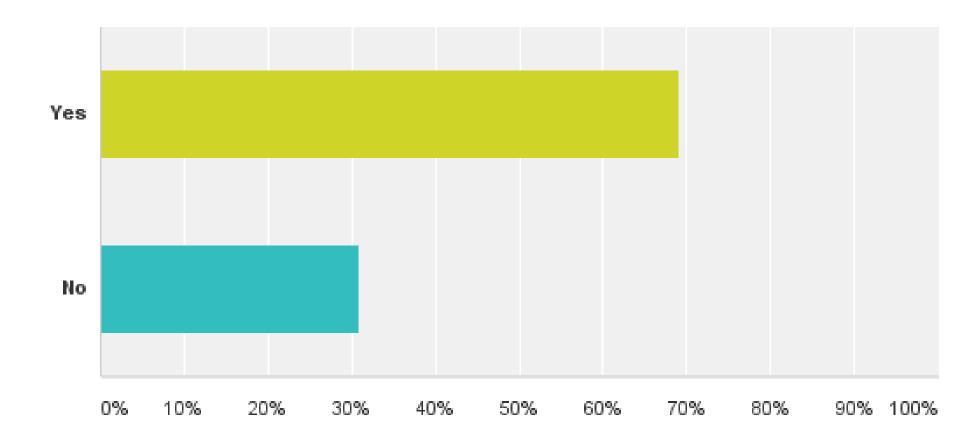
3. Is records management currently your primary or secondary responsibility?
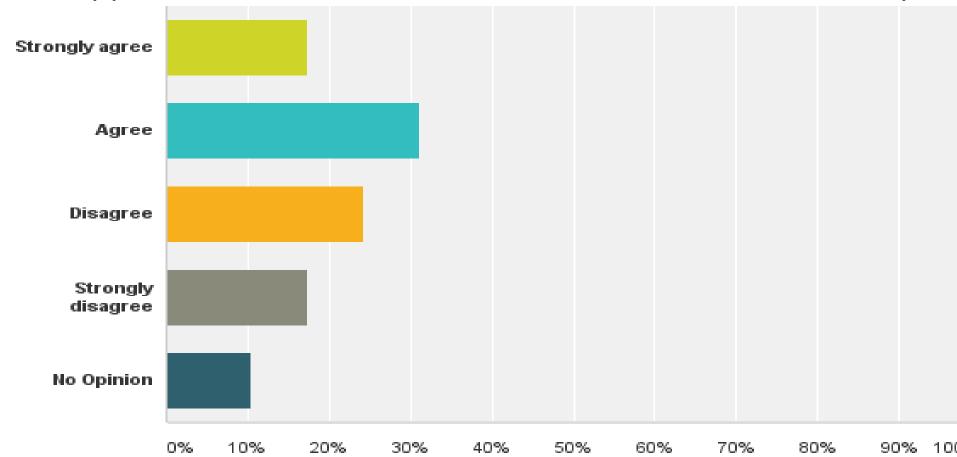
4. To the best of your knowledge, has your agency submitted a records schedule for approval to NARA in FY 2015 and/or FY 2016?
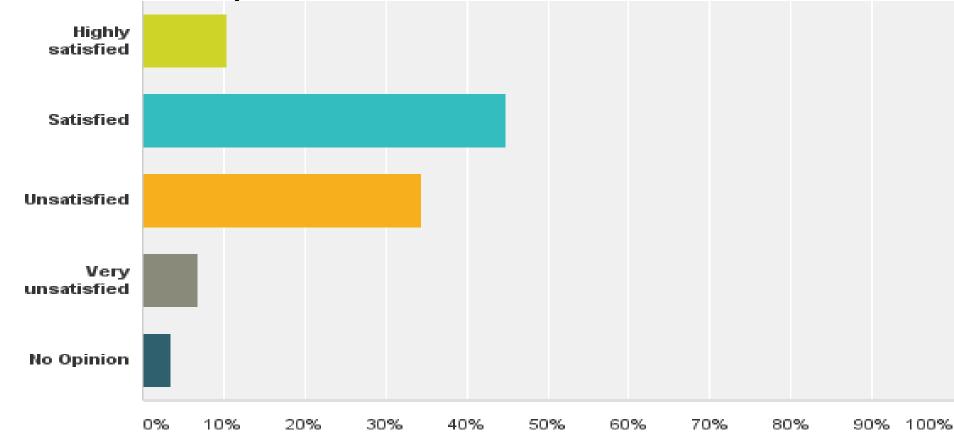
4 a. I personally have submitted a records schedule for approval to NARA in FY2015 and/or FY2016.
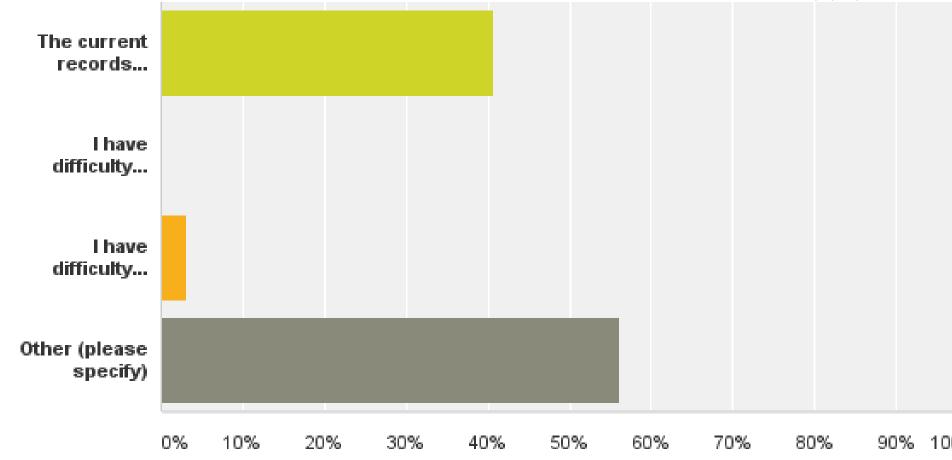
4 b. Of those who answered yes to 4 a, the time NARA took to approve the submitted records schedule was satisfactory.
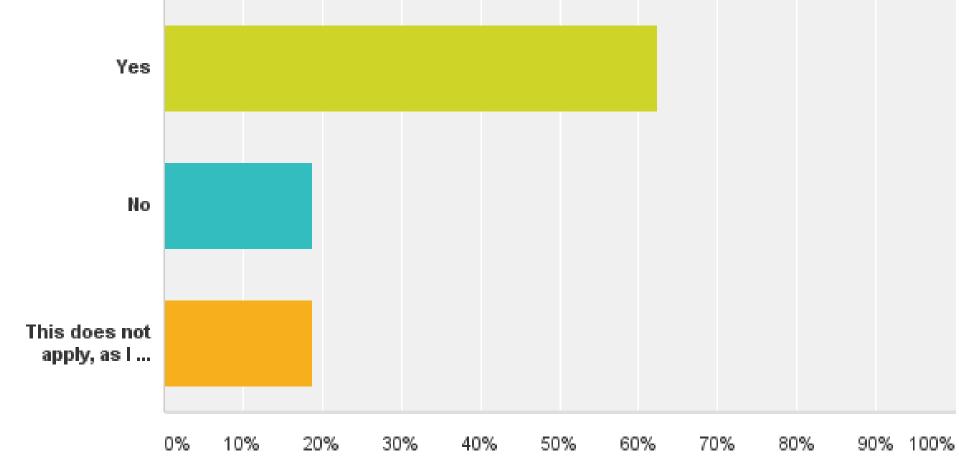
4 c. If you have used the Electronic Records Archives (ERA) to schedule records, how satisfied were you with the way that ERA functioned?
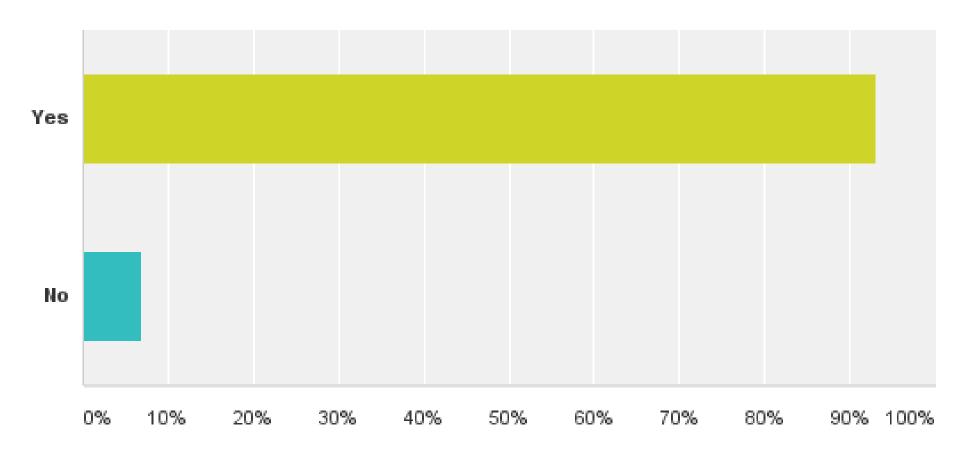
4 d. My agency has not recently submitted records schedules to NARA because: (Please select all that apply.)
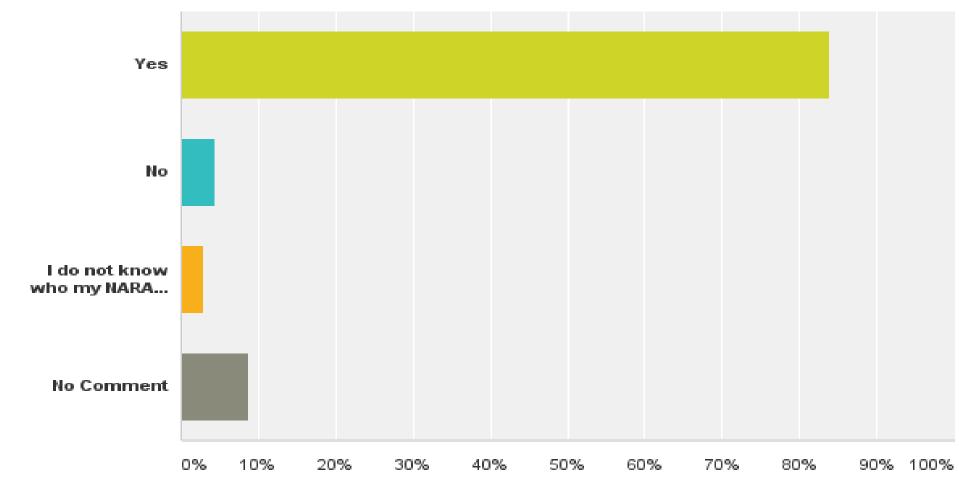
4 e. I do receive the monthly Report of Records Appraisal Activity from my NARA Appraisal Archivist.
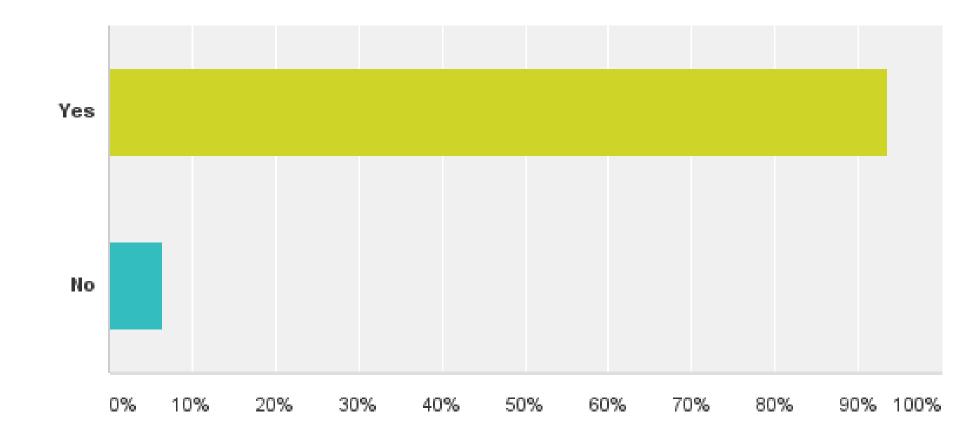
4 f. Is this report helpful?
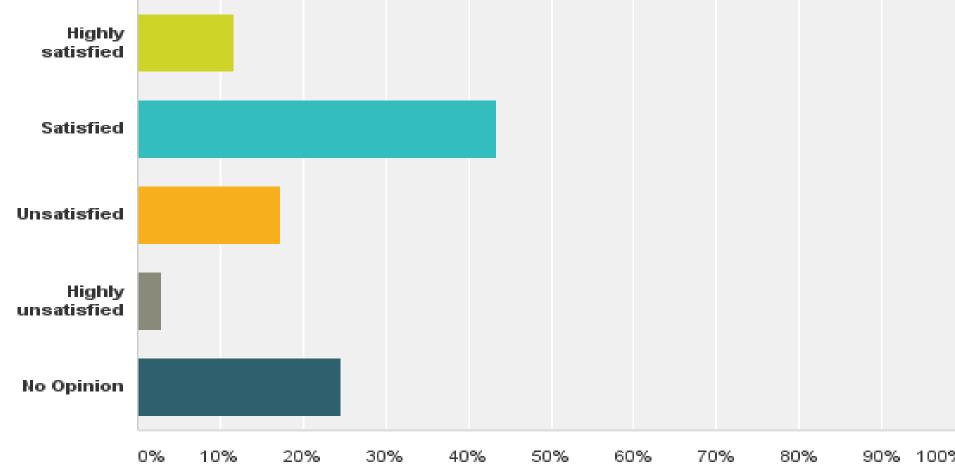
5. I have a good working relationship with my agency's NARA appraisal archivist.
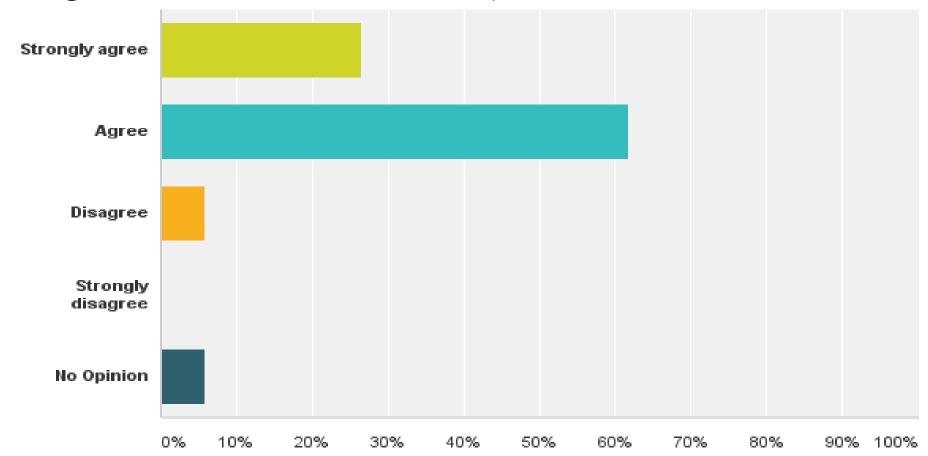
5 b. When I contact my agency's NARA appraisal archivist for assistance, I receive a timely response.
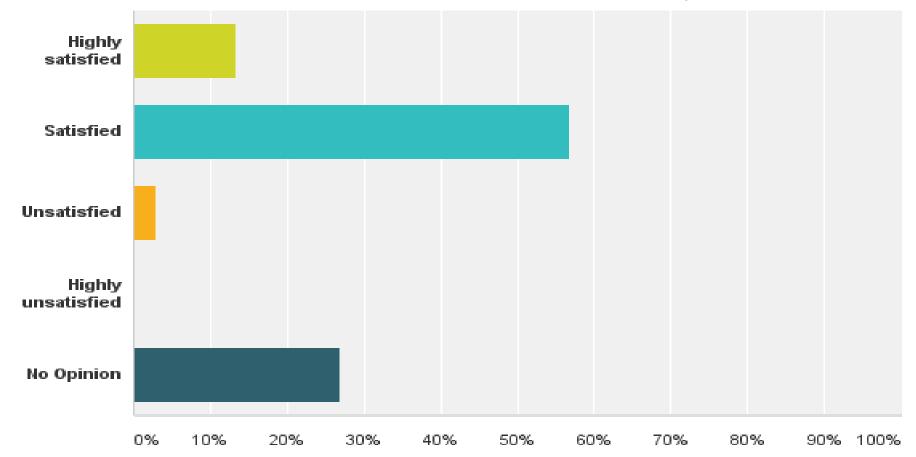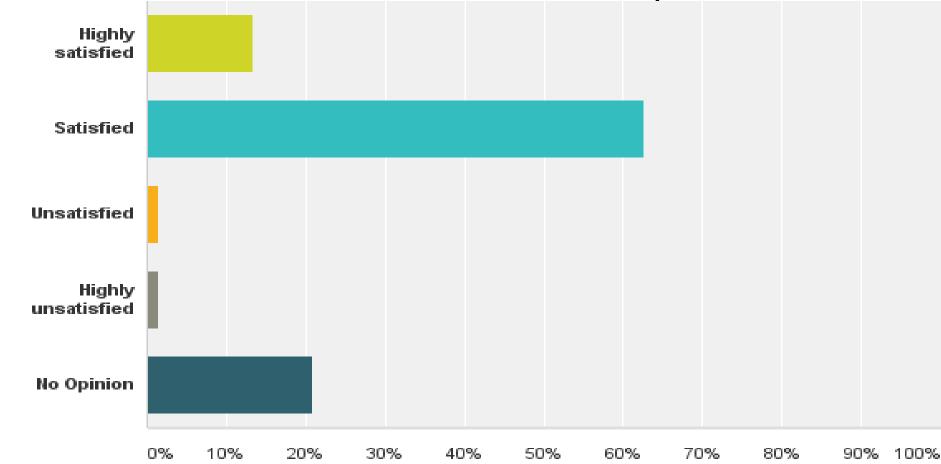
5 c. How satisfied are you with NARA scheduling and appraisal services?

7. Are the communications you receive from NARA's records management program clear (e.g., Records Express blog, RM communications email)?
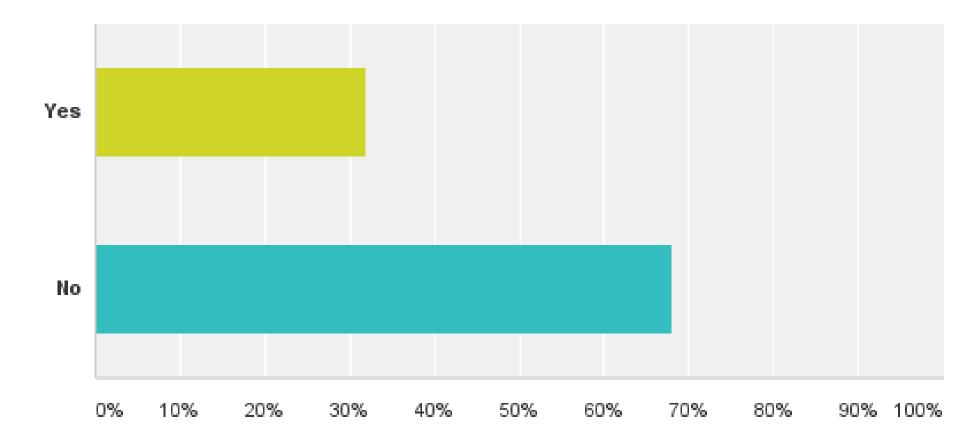
9. How satisfied are you with the support you receive from NARA on the Annual Move process?
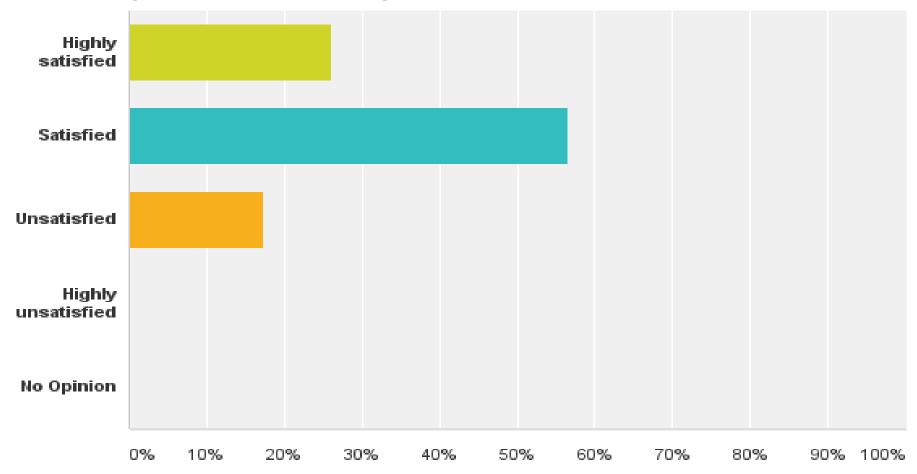
10. How satisfied are you with NARA communications on the Annual Move process?
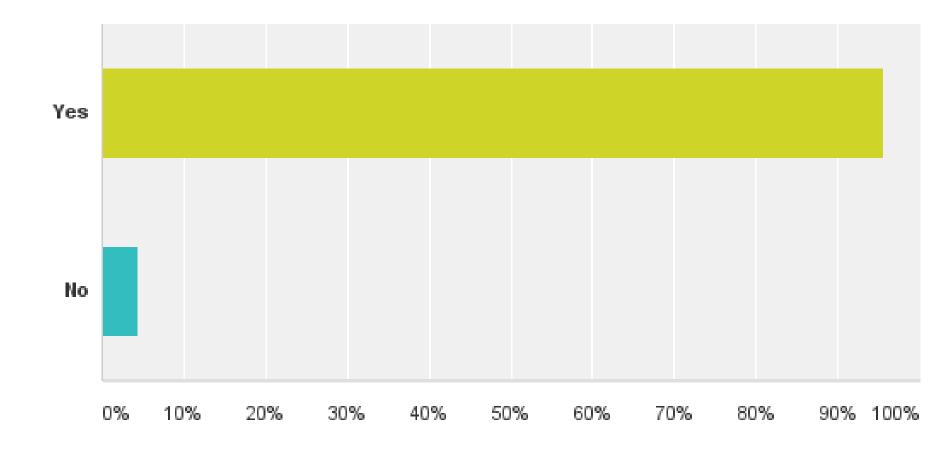
12. Have you taken any of NARA's records management courses in FY 2015 or FY 2016?
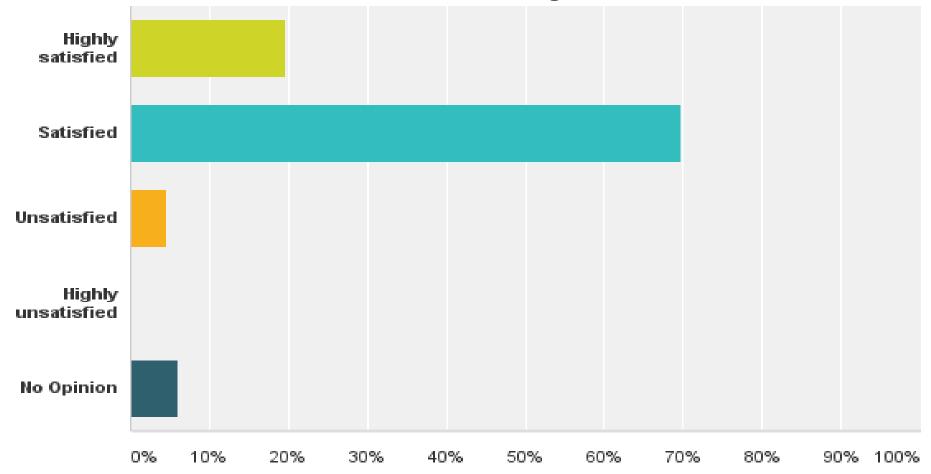
12 a. How satisfied are you with NARA's records management training courses?
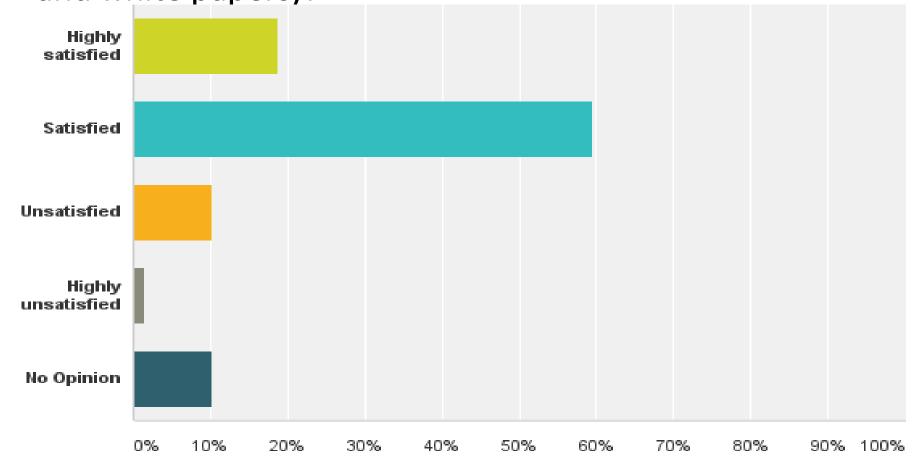
13. Have you viewed any of the training materials available on NARA's records management web site (e.g., such as briefings, web pages, publications, etc.)?

13a. How satisfied are you with the training materials available on NARA's records management web site?

14. How satisfied are you with NARA's records management guidance products (e.g., bulletins, FAQs, and white papers)?

Next Steps

- Monthly Status Reports: contact me directly if not receiving

- ERA Request for Records Disposition: In March, re-designing business objects

- New Appraiser Visits: Looking at reinstating visits by newly assigned appraisers

Next Steps

- Redesigning the scheduling and appraisal part of website

- Big Bucket Study

- Hiring Freeze
  - 5 Appraiser positions unfilled
  - Immediately began reallocating work across team lines
  - Longer-term impact of hiring freeze and downsizing unknown

Questions?

Margaret Hawkins

Margaret.Hawkins@nara.gov

301-837-1799

Next BRIDG Meeting:

Tuesday, April 11, 2017