LEADERS IN RECORDS AND CONTENT MANAGEMENT

NIH

National Institutes of Health

KONICA MINOLTA

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A KONICA MINOLTA COMPANY

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WHAT'S DRIVING THE NEED

Milestones on the Road to Digital Government

2019
Manage all permanent electronic records in electronic formats.

2020
NARA will have policies and processes in place to support federal transition to fully electronic recordkeeping.

2022
Federal agencies will manage all temporary and permanent records in an electronic format.

NARA only accepts records in electronic format and with appropriate metadata.

EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

June 28, 2019

M-19-21
MEMORANDUM FOR HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

FROM: Russell T. Vought
            Acting Director
            Office of Management and Budget

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

SUBJECT: Transition to Electronic Records

This Administration is driving transformational change to modernize Government, including moving to electronic government, through multiple complementary channels. In March 2018, the President's Management Agenda (PMA) established an overarching vision to improve mission delivery, customer service, and accountable stewardship on behalf of the American public. The

This memorandum directs all Federal agencies to:

1. Ensure that all Federal records are created, retained, and managed in electronic formats, with appropriate metadata; and

2. Consistent with records management laws and regulations, develop plans to close agency-operated storage facilities for paper and other, analog records, and transfer those records to Federal Records Centers operated by NARA or commercial storage facilities.

FEDERAL AGENCY CHALLENGES

Agency
Services

NATIONAL
ARCHIVES

- Resources!
  - Cost to procure, implement, and sustain necessary technological solutions
  - Shallow RM workforce in most agencies
- Crushing weight of legacy records
- Skill gaps and lack of training for what's next
- Increasing volumes and complexity of data and formats
- Building modern infrastructure to facilitate fully electronic government
- Securing senior management support and strategic leadership

Source:NARA Bridg Meeting

QAI RESPONSE TO M-19-21 OMB MEMORANDUM

Knowledge and Support Services

- Established a NARA Compliance Readiness Practice
- QAI is part the GSA Advisory Board for Digital Transformation
  - ECM Working Group
- Attend all Bridg meetings held by NARA
- Comprehensive onsite or virtual records management assessment services
- Onsite, offsite or hybrid document conversion services
- Content management software and solutions (M365,NIH E-Systems, cognitive technologies)
- Comprehensive consulting services for end-to-end compliance (Planning, IT, Implementation, Training and Support)
- Accessioning and Disposition Services
- Staff augmentation (RIM SMEs, ECM professionals, Admin support)
- Resell Hardware devices and provide implementation support for digital conversion services

M-19-21 Awareness Outreach	
May 24, 2022	**LIVE EVENT at The Hamilton in DC**
February 2022	**M365-Records Management and Governance**
November 2021	**FADGI Guidelines**
September 2021	**Critical Success Factors for Digital Transformation**
September 2021	**When to Consider On-site or Off-site Records Digitization**
July 2021	**Catching up with M-19-21 Deadlines after COVID**
December 2020	**Turning M-19-21 Plans into Action**
September 2020	**Digital Transformation Workshop**
June 2020	**Transforming to Meet M-19-21 Requirements**
May 2020	**Race to the Finish**
March 2020	**A Practical Path to M-19-21 Compliance**
December 2019	**Meeting the Deadlines**

M-19-21 READINESS SITE

NARA Compliance Readiness

NARA M-19-21 Readiness Center

Educational Events

Readiness Solutions

Readiness Checklist

Readiness Estimator

Blog

Records Management Experts

Industry Resources

The Administration's *Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations* included a proposal to transition Federal agencies' business processes and record-keeping to a fully electronic environment and end the National Archives and Records Administration's (NARA) acceptance of paper records by December 31, 2022.

M-19-21 established these deadlines for all federal agencies:

- By the end of 2019, Federal agencies were required to manage all permanent electronic records in an electronic format, and by the end of 2022 all permanent records must also include appropriate

PAST PERFORMANCE AND CASE STUDY

QAI-EXPERIENCE AT NIH

Office of the Director

Executive Secretariat (ES)
Office of Research Services (ORS)
Office of Intramural Research (OIR)
Office of Extramural Research (OER)
Office of Management and Assessment (OMA)
Office of Financial Management (OFM)
Office of Aids Research (OAR)

NIH Centers

Center for Information Technology (CIT)
Center for Scientific Review (CSR)
Fogarty International Center (FIC)
NIH Clinical Center (CC)

NIH Institutes

National Cancer Institute (NCI)
National Eye Institute (NEI)
National Heart, Lung, and Blood Institute (NHLBI)
National Human Genome Research Institute (NHGRI)
National Institute on Aging (NIA)
National Institute on Alcohol Abuse and Alcoholism (NIAAA)
National Institute of Allergy and Infectious Diseases (NIAID)
National Institute of Arthritis and Musculoskeletal and Skin Diseases (NIAMS)
National Institute of Biomedical Imaging and Bioengineering (NIBIB)
National Institute of Child Health and Human Development (NICHD)
National Institute on Deafness and Other Communication Disorders (NIDCD)
National Institute of Dental and Craniofacial Research (NIDCR)
National Institute of Diabetes and Digestive and Kidney Diseases (NIDDK)
National Institute on Drug Abuse (NIDA)
National Institute of Environmental Health Sciences (NIEHS)
National Institute of General Medical Sciences (NIGMS)
National Institute of Mental Health (NIMH) *
National Institute of Neurological Disorders and Stroke (NINDS)
National Institute of Nursing Research (NINR)
National Library of Medicine (NLM)

UNDERSTANDING NIH AND NIH RECORDS

## Intramural and Extramural Grants

- Grant Programs
- Research Grants
- Career Development Awards
- Research Training and Fellowships
- Program Project/Center Grants
- Resource Grants

Grant Types

- Type 1 – New
- Type 2 – Renewal
- Type 3 – Competing Revision
- Type 4 – Extension
- Type 5 – Non-competing Continuation

Scientific Studies, Case Files and other Institute Records

- NIMH Family Case Studies
- NIDCR **Syndrome** Study **Files**
- NEI – EyeGENE, Administrative files
- NIH CC Patient Records
- NLM-Vital Records
- Employee Acquisition and Management Records
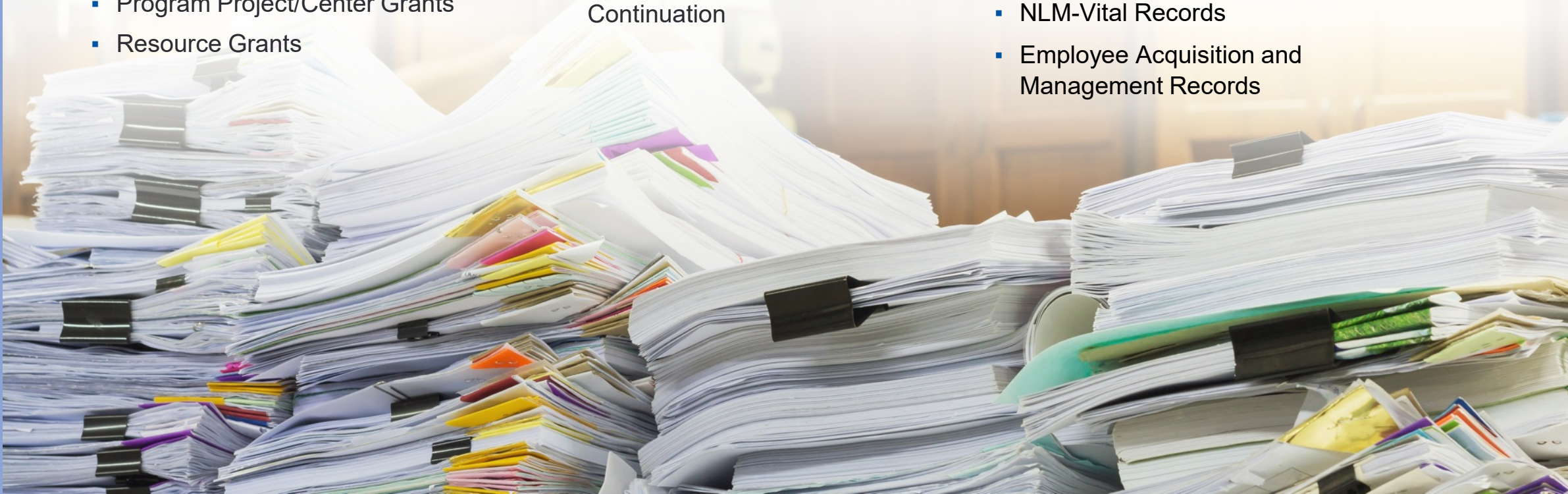
NIH OFFICE OF THE EXECUTIVE SECRETARIAT (ES)

The NIH Office of the Executive Secretariat (ES) awarded QAI a contract to provide services to review, index, and accession permanent and historical files of the NIH Director and Principal Deputy Director to the National Archives and Records Administration (NARA) with a secondary component to review, assess and update the ES Classification Guide. The guide is used to categorize and classify official records and correspondence control documents in the ES web-based document repository system known as SAAVI.

Two Primary Tasks:

1. Accessioning of NIH Director's Permanent Records to NARA

2. Review, Assess, and Update of the ES Classification Guide
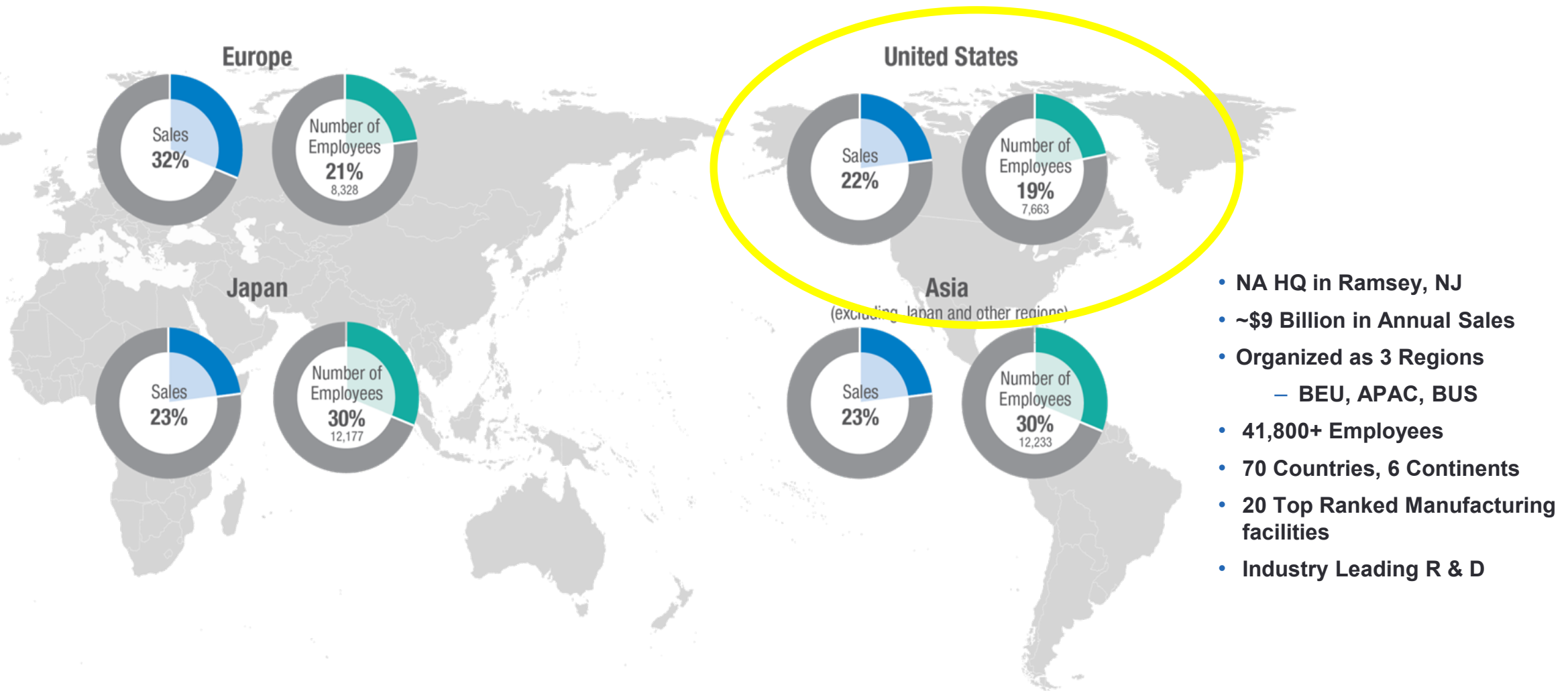
The scope of this contract is to assist the ES in preparing paper records for accession to NARA in accordance with NARA standards with a secondary scope to review and assess the ES Classification Guide. The set of records involved in this project includes approximately 1000 square feet of paper files to be prepared for transfer, consisting of approximately 650 square feet of correspondence, internal memoranda, and other records ("subject files") and approximately 350 square feet of meeting materials and briefing books ("meeting files").

NIH Contacts: Michael Broome and Jason Lima

KONICA MINOLTA / QAI CAPABILITIES

KONICA MINOLTA / QAI GLOBAL SCOPE

Europe

Sales 32%

Number of Employees 21% 8,328

United States

Sales 22%

Number of Employees 19% 7,663

Japan

Sales 23%

Number of Employees 30% 12,177

Asia (excluding Japan and other regions)

Sales 23%

Number of Employees 30% 12,233

- NA HQ in Ramsey, NJ
- ~$9 Billion in Annual Sales
- Organized as 3 Regions
  - BEU, APAC, BUS
- 41,800+ Employees
- 70 Countries, 6 Continents
- 20 Top Ranked Manufacturing facilities
- Industry Leading R & D

DIGITAL TRANSFORMATION AND RECORDS MANAGEMENT EXPERIENCE

- 30+ years as record management and document conversion organization digitizing approximately 3 billion documents for Federal customers

- QAI has worked with NIH for over 20 years in almost all ICs

- Currently supporting numerous Federal agencies with digitization, record management and electronic content management services and support including NIH EX Sec. (USDA,FDA, DEA, DOI)

- Provide paper to cloud record management transformation assessment, planning, execution, delivery and post support

- Provide turnkey **onsite and offsite** Record Management and digital conversion services to meet NARA compliance requirements

- Facilities across the United States

- Onsite services to support COVID 19 best practices with special focus to return to physical workplace

RECORD MANAGEMENT SERVICES

Record Inventory Procedures

- Physically inspect all of the files and data
- Record Essential information about the files
- Identify duplicate and fragmented, related records
- Match the records to the appropriate disposition schedule

Planning for the inventory and beyond….

- QAI to develop inventory team to access all restricted and unrestricted information
- QAI to work closely with IC Record Liaisons on physical location of content
- QAI to document unique functions of the IC
- Identify and provide special attention for records classified as permanent retention
- Identify and provide special attention for records classified as non-records
- Identify and provide special attention for email content and capstone and non-capstone officials
- Assist RLs with determining number of boxes, cutoff dates and record retention schedule
- Assist RLs with determining disposition planning
- Assist RLs with planning of records transfer to offsite storage

CLASSIFYING PERMANENT, TEMPORARY RECORDS AND NON-RECORDS

Permanent Records

- Appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are needed for administrative, legal or fiscal purposes

Temporary Records

- Approved by NARA for disposal either immediately or after a specified time

- Referred often as disposable records or non-permanent records

Non-Records

- These are copies of documents maintained in more than one location or materials available from public sources, which can be disposed of at the discretion of the user.

- Often referred to as convenience copies or are personal papers.

COMPLETING THE SPREADSHEET AND INITIAL DATA CALL

Items to document

- IC
- Organization
- SAC
- Location/Post
- Division/Branch
- **Record Group**
- **Record Type**
- **Creation Date**
- **Volume in Cubic Feet**

PAPER INVENTORY ESTIMATOR

Page 1

Paper & Image Estimator
How to Estimate Your Volumes of Images

During any document copy, scanning or microfilming project the largest cost will be the per document or per image cost. The following should help you create a preliminary estimate of the number of documents your organization has for copy, scanning or microfilming. These are the same guidelines that QAI uses when estimating a price quote. We have made them available, so you can better estimate your own volume.

Standard Document Storage

Unbound Paper
150-175 Pages Per Inch

Standard File Box
2,000 - 2,500 Pages Per Box

Banker Style Boxes
4,500 - 5,000 Pages Per Box

Vertical File Cabinet
3,500 - 4,000 Pages Per Drawer

Lateral File Cabinet
5,500 - 6,000 Pages Per Drawer

Open Shelving
1,500 Pages Per Horizontal Foot

Color Photos
100 - 120 Photos Per Inch

Engineering Drawing (unfolded)
125 - 150 Sheets Per Inch

Page 2

Paper & Image Estimator
How to Estimate Your Volumes of Images

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Popular Bound Document Storage

1" Binder
250 - 275 Pages Each

2" Binder
450 - 480 Pages Each

3" Binder
650 - 670 Pages Each

4" Binder
750 - 780 Pages Each

5" Binder
950-1050 Pages Each

2-Hole 1" Binder
225 - 240 Pages Each

2-Hole 2" Binder
450 - 480 Pages Per Inch

Velo Binder
200 - 300 Pages Per Each

Plastic Coil/Spiral Binder
175 - 200 Maximum Pages Each

Page 3

Paper & Image Estimator
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Microfilm Types & Estimating Images

Image Reduction

Popular Filming Reductions	Approximate Image Size
24x	9.0mm wide & 11.5mm tall
31x	7.5mm wide & 9.5mm tall
42x	5.0mm wide & 6.5mm tall
There are other reductions, such as: 19x, 36x, 48x, or 54x, but the above are most common.	

Film Polarity

| Negative Film	Positive Film

Masters or Duplicates?

105mm Master Microfiche	105mm Duplicate Microfiche
Identify by: No Color Stripe at the top of the film images . ALWAYS B/W on clear film.	Indentify by: Color Stripe at the top of the film & images can be blue in color.

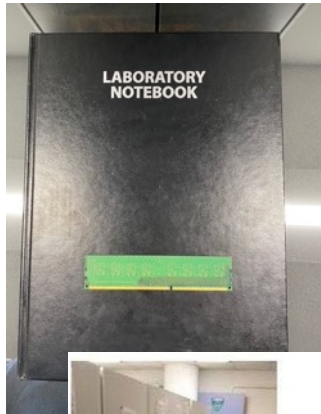| 16mm Master Rolls	16mm Duplicate Rolls
Identify by: Images always black, thicker film & usually in a black plastic or paper film box.	Identify by: Blue images, thin film, loaded into a C-Clip, 3M style or other type of cartridge.

DIGITAL CONVERSION SERVICES

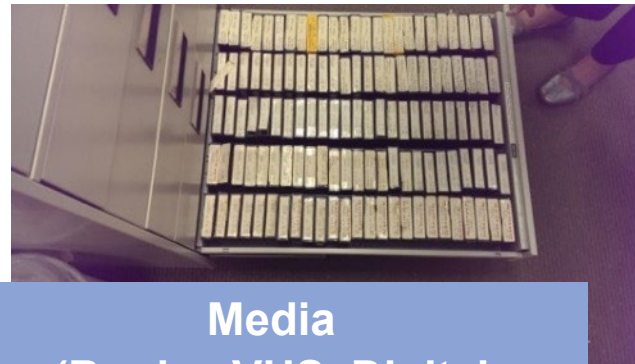# DIGITAL CONVERSION LIFE CYCLE
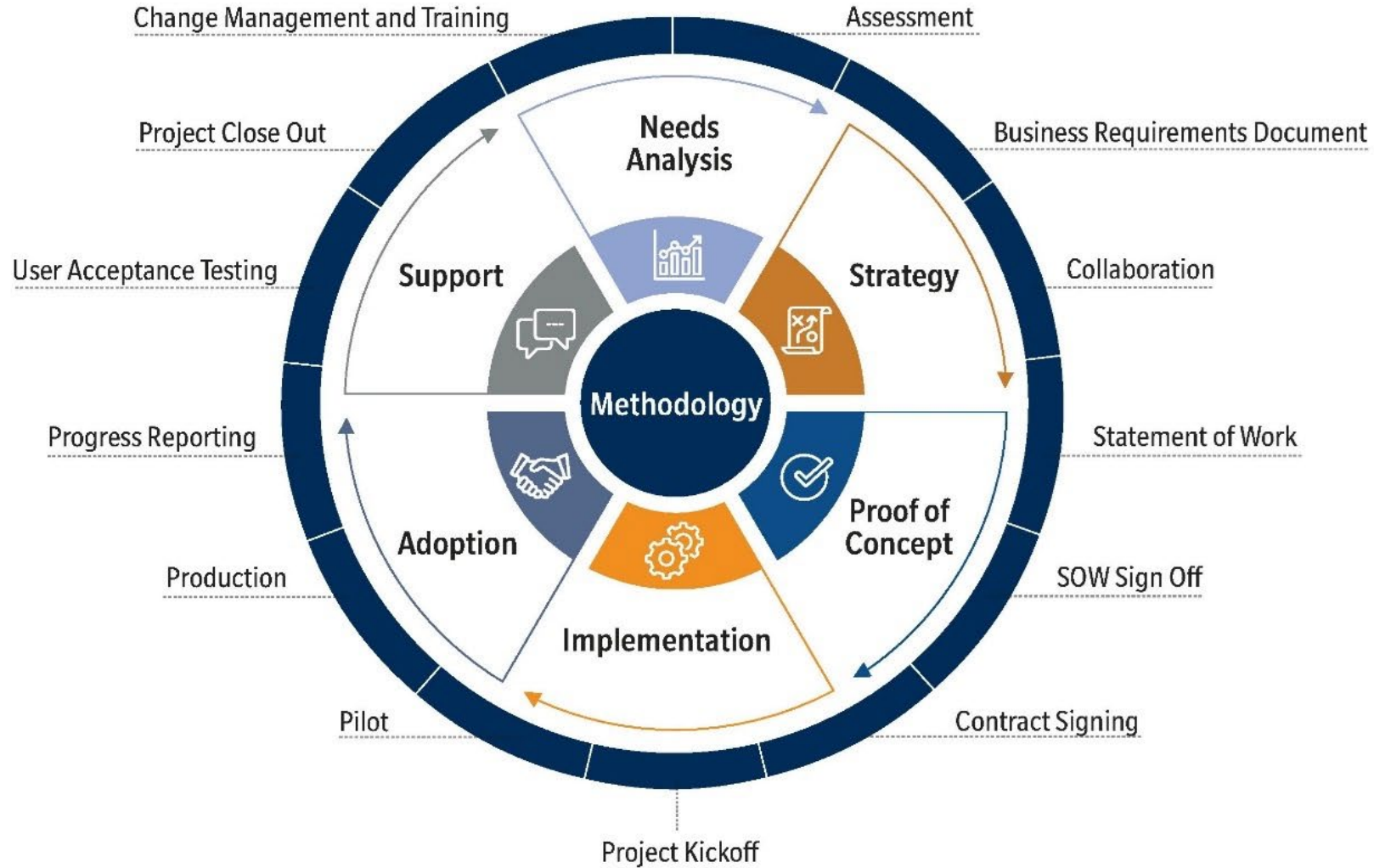
QAI SECURE IMAGING CENTERS

MEDIA TYPES DIGITIZED AT QAI

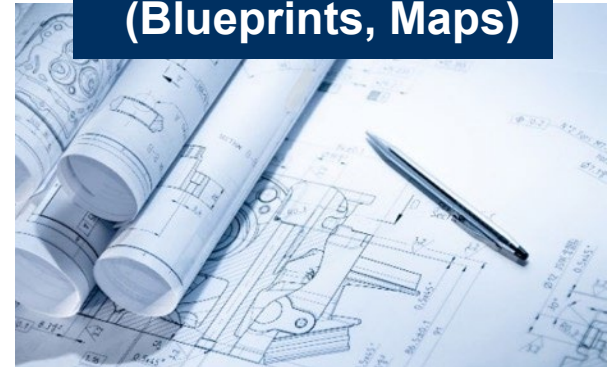**Paper, Binders, Bound Books, Lab Notebooks**

Microform (Film, Fiche, Aperture Cards)

Media (Books, VHS, Digital Content, CD's, Disks)

Large-Format (Blueprints, Maps)

FACILITY AND DATA SECURITY

We are committed to keeping your information confidential and secure

FACILITY
- Intrusion detection systems
- 24 hour camera surveillance
- Secure card technology for entry
- Visitor identification and log-in
- Restricted areas for highly sensitive material
  - Access controlled by security level card technology

STAFF
- Security and background checks
- NACI, top secret
- Restricted area access
- Standard operating procedures - FSO
- Training and education to maintain standards

CHAIN OF CUSTODY
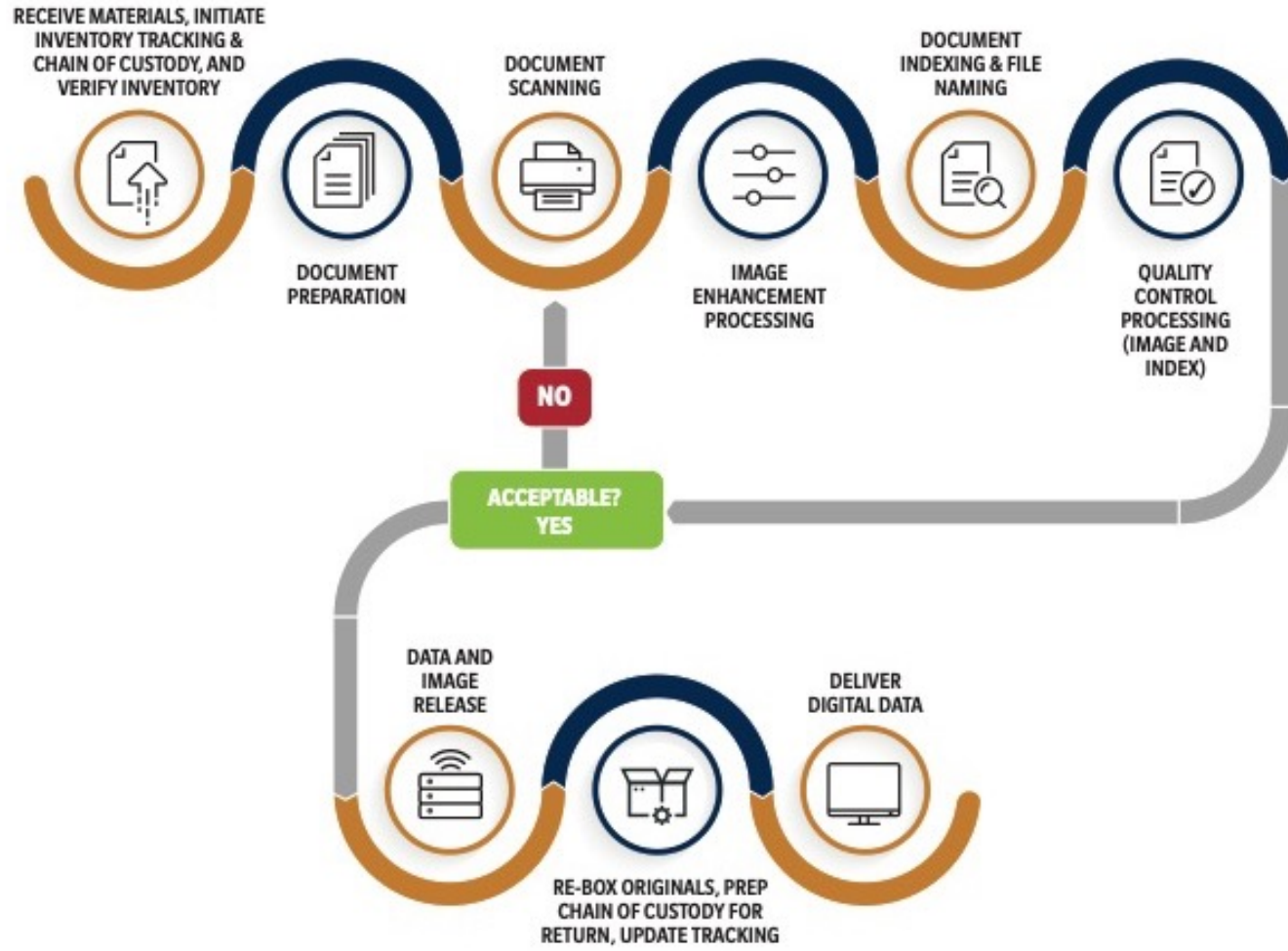- Utilized in transport to and from records locations

TRANSPORTATION
- Secure and reliable vehicles
- Single stop transport

Data Security to include: CMMC, FISMA, NIST, and SOC2 Compliance.

DOCUMENT SCANNING WORKFLOW

PROCUREMENT VEHICLES TO REACH QAI

- NITACC (CIO SP3)

- Existing NIH Acquisition Vehicles

- Direct Acquisition (Sole Source)Award to NIH's 8a partner

- GSA MAS Schedule 70
  o 518210DC – Document Conversion SIN Area
  o 518210ERM – Electronic Records Management Solutions SIN Area

- GPO C951-M – Enterprise Content Management Services & Solutions

QUESTIONS?
Thank You for Joining Us Today!

Konica Minolta IIM-QAI Practice

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