



M-23-07 Compliance Guide

A screenshot of the Knowvation Admin web application. The interface shows a navigation menu with 'Business Processes' selected. Below this, there are tabs for 'ADMINISTRATION' and 'USERS'. A modal window is open, displaying details for a 'Steel Beam Guardrail' folder, including its path (Home > File Plan > Series), folder name, and creation date. Below the modal, a table lists various items with columns for ID, Title, Product ID, and Created Date. The first row is highlighted in yellow and has a checkmark in the left margin. The table is partially obscured by a teal overlay on the right side of the image.

	ID	Title	Product ID	Created Date
✓	9	ba203	349843	8/15/2022 9:59:26 AM
☐	8	ba210	349842	8/15/2022 9:59:26 AM
☐	7	ba206	349841	8/15/2022 9:59:26 AM
☐	6	ba202	349840	8/15/2022 9:59:25 AM
☐	5	ba225	349839	8/15/2022 9:59:24 AM
☐	4	ba250	349838	8/15/2022 9:59:24 AM

A comprehensive guide to achieving M-23-07 compliance, along with best practices.

What is the M-23-07 Federal Mandate?

↘ M-23-07 states that by June 30, 2024, the National Archives and Records Administration (NARA) will no longer accept transfers of permanent or temporary records in analog formats and will accept records only in electronic format with appropriate metadata. Further, the order states that agencies must manage all permanent and temporary records in an electronic format or store them in commercial records storage facilities.

- ↘
- **Deadline: June 30, 2024**
 - **NARA will no longer accept analog formats**
 - **NARA will only accept digital format with appropriate metadata**

↘ This means that federal agencies have just months to ensure that all their records are digitized and properly managed. The move to electronic records is aimed at improving efficiency and accessibility, as well as reducing costs associated with physical storage and retrieval. However, the transition will require significant planning and investment in technology and infrastructure. Agencies will need to carefully assess their current records management practices and make changes as needed to meet the requirements of M-23-07.

What does M-23-07 mean for government agencies?



01 Use a Records Management System

Manage both permanent and temporary electronic records with a records management system that meets NARA requirements IAW the Federal Electronics Records Modernization Initiative (FERMI)

02 Deliver only digital data to NARA

Agencies are directed to close agency operated paper and analog storage facilities and create, retain, and manage and transfer Federal Records in electronic formats with appropriate metadata

03 Digitize

Digitize analog data (paper, microform, analog video, film, slides photos etc.) before transferring to NARA

FEDERAL RECORDS MANAGEMENT 101

Records management isn't new.

It's been a legal requirement since 1950.



Federal Records Management Legislation

- The Federal Records Act (44 U.S.C. 31) – Requires RM program
- Title 36 CFR XII, Subchapter 8 – Specifies RM Policies
- Title 18, U.S. Code, 2071 – Specifies penalties



Records Manage Lifecycle

- Create and Receive
- Maintenance and Use
- Disposition



What's in a Records Management Program

1. A Records Retention Schedule (File Plan)
2. Policies and Procedures that the Agency will follow
3. Accessibility, Indexing, and Storage
4. Compliance Auditing
5. Transfer or Disposal of Records



Electronic Records Management Major Activities

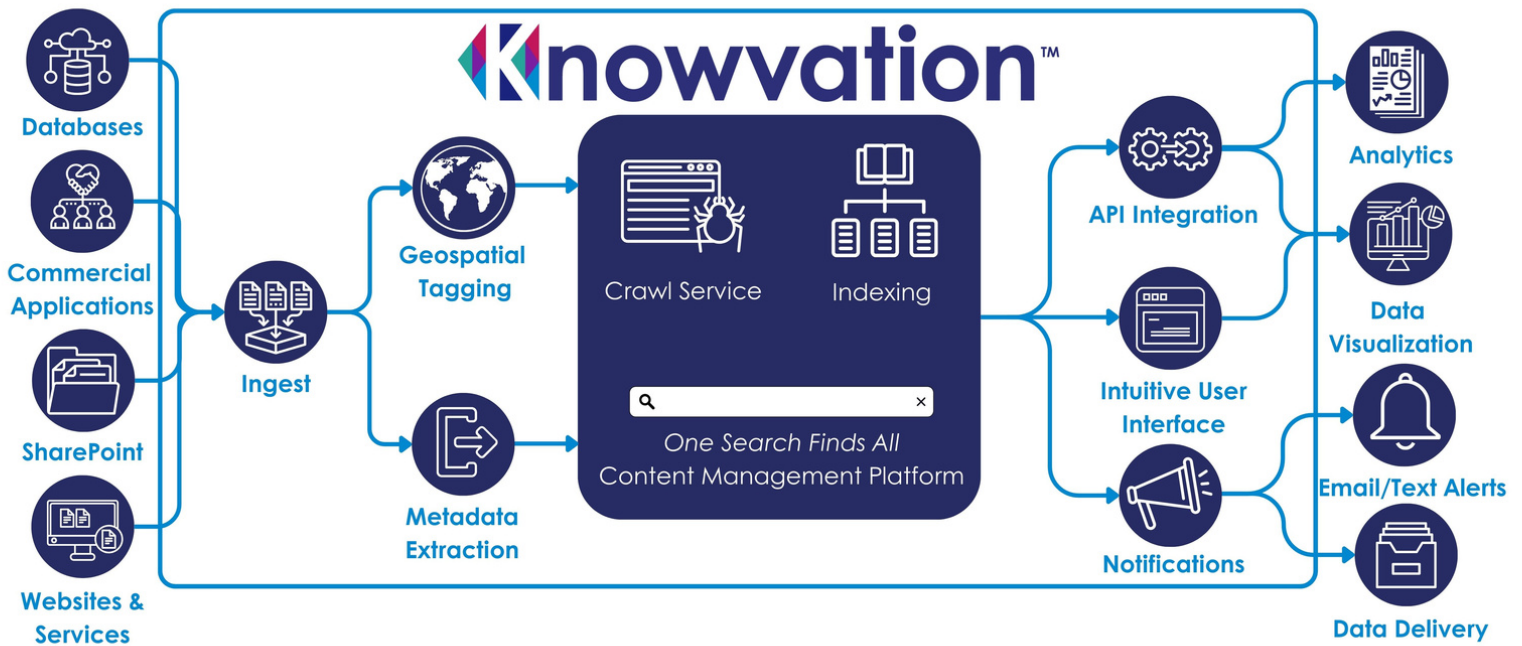
1. Records Creation, Location and Capture
2. Records Maintenance and Use
3. Records Disposal or Transfer

Procuring an RM System

- **Budget for an RM System Purchase**
 - ○ A few RM software vendors include: Knowviation RM, DocuWare, Box, M-Files, Hyland, RMA IQ, OpenText, IBM
- **Best Practices for Evaluating and Purchasing a RM System**
 - Market Research Contact GSA at recordsmanagement@gsa.gov and go to their Market Research As a Service (MRAS) web page
 - Make sure the solution complies with NARA's Universal Electronic Records Management (ERM)
 - Make sure the vendor selected is listed on GSA's MAS SIN 518210ERM
 - Download the latest Universal Use Cases from GSA's RM Solutions Web page
- Ask the vendor for a Product demonstration after you have provided any agency unique RM requirements, such as federated indexing, digitization functionality, OCR, AI/ML for metadata creation etc.
- Consider procurement of a Pilot for in depth testing and evaluation with your agency's records and requirements
- Contract using GSA's MAS SIN 518210ERM

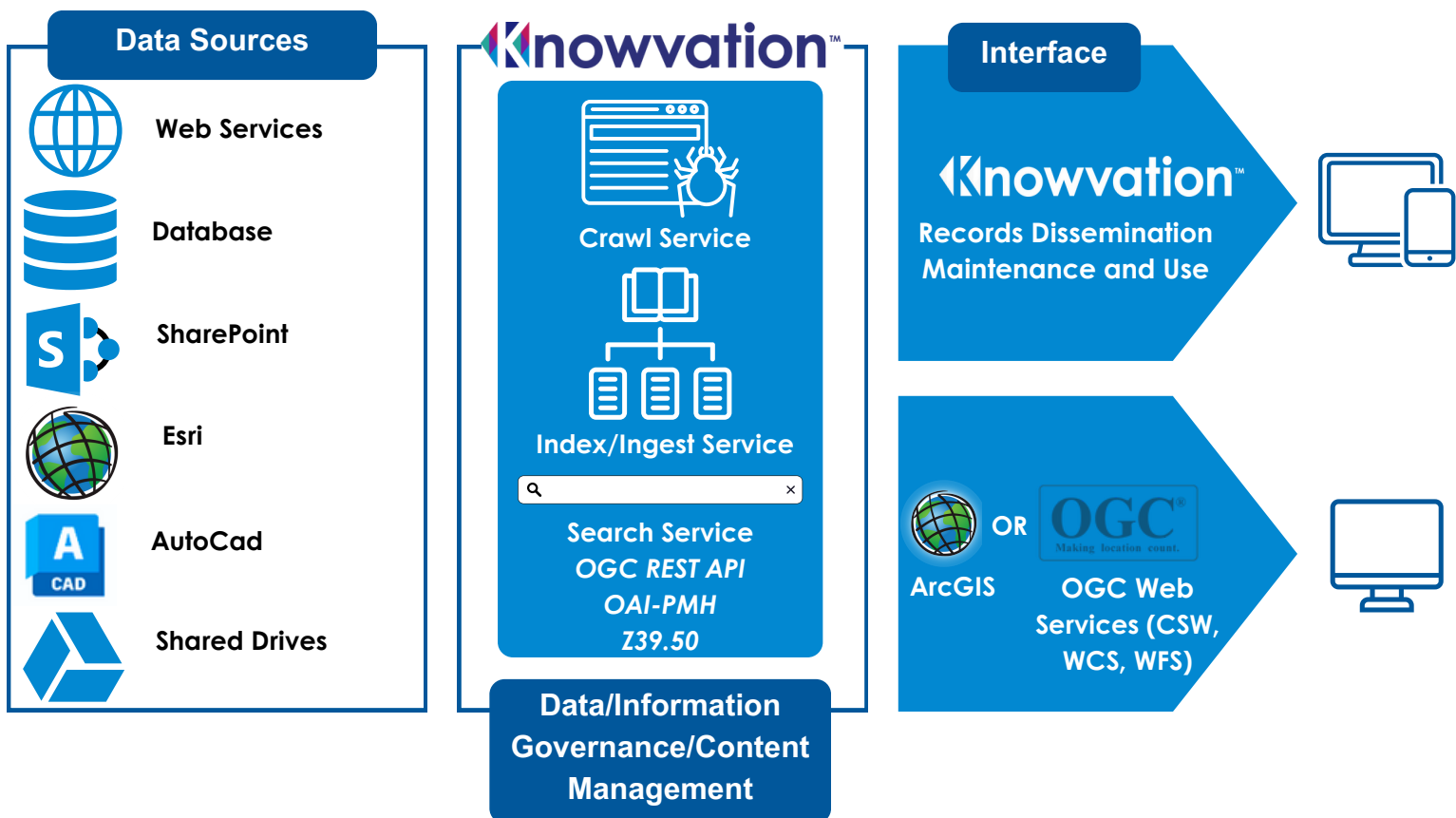
Advanced ERM Systems for Agency Knowledge Management, Information Management, and Records Governance

Crawl, index, ingest, categorize, and discover

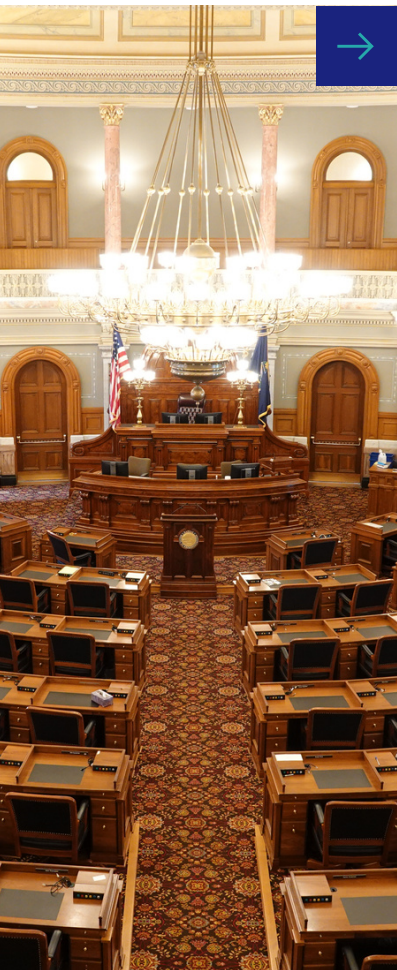


Electronic Record Location and Capture

- **Challenge:** Comprehending the content, location, and quality of the myriad data sources that exist within the different divisions of the organization.
- **Goal:** Systematically locate all an organization's data and turn data into usable, powerful information that directly improves the way that organizations do business.



How can government agencies comply with the M-23-07 executive order?



NARA requires that only certain file types be used for delivery of electronic data (Bulletin 2014-4).

- There are accepted file types based on media; i.e.
 - CAD
 - Digital Video
 - Digital Audio
 - Digitized Paper and Photos
 - Email
 - Text Data
 - Web Records
 - Born Digital Photographs
 - Geospatial Formats
 - Structured Data Formats
 - Special Document Types
 - Etc.

Best Practices

Our digitization services have a wide range of capabilities to ensure reliable and long-lasting access to your records. PDF/A-3 format is ideal for archiving and we can help digitize paper records to meet your needs.



- Records Creation from Analog Data is complex - your chosen digitization service must have a wide range of capabilities.
- Since M-23-07 is a unfunded and mandatory requirement, identifying and overcoming funding barriers may be crucial for your agency. This can include tapping into the Technology Modernization Fund (TMF) and seeking grants for state and local agencies.
- The Freedom of Information Act (FOIA) grants the public access to government records, but the process of retrieving these documents can be time-consuming for Federal agencies. Knowvation RM offers a solution by automating electronic records management in compliance with NARA and DoD standards.
- PDF/A ensures reliable access to PDF documents, making PDF ideal for long-term archiving. We recommend a digitized paper in PDF/A-3 format for long-term preservation.

Best Practices Cont.

A Modern Digitization Service Bureau must be able to convert lots of types of analog material and create a digital package with rich metadata that can be transferred to NARA electronically.



Digitization

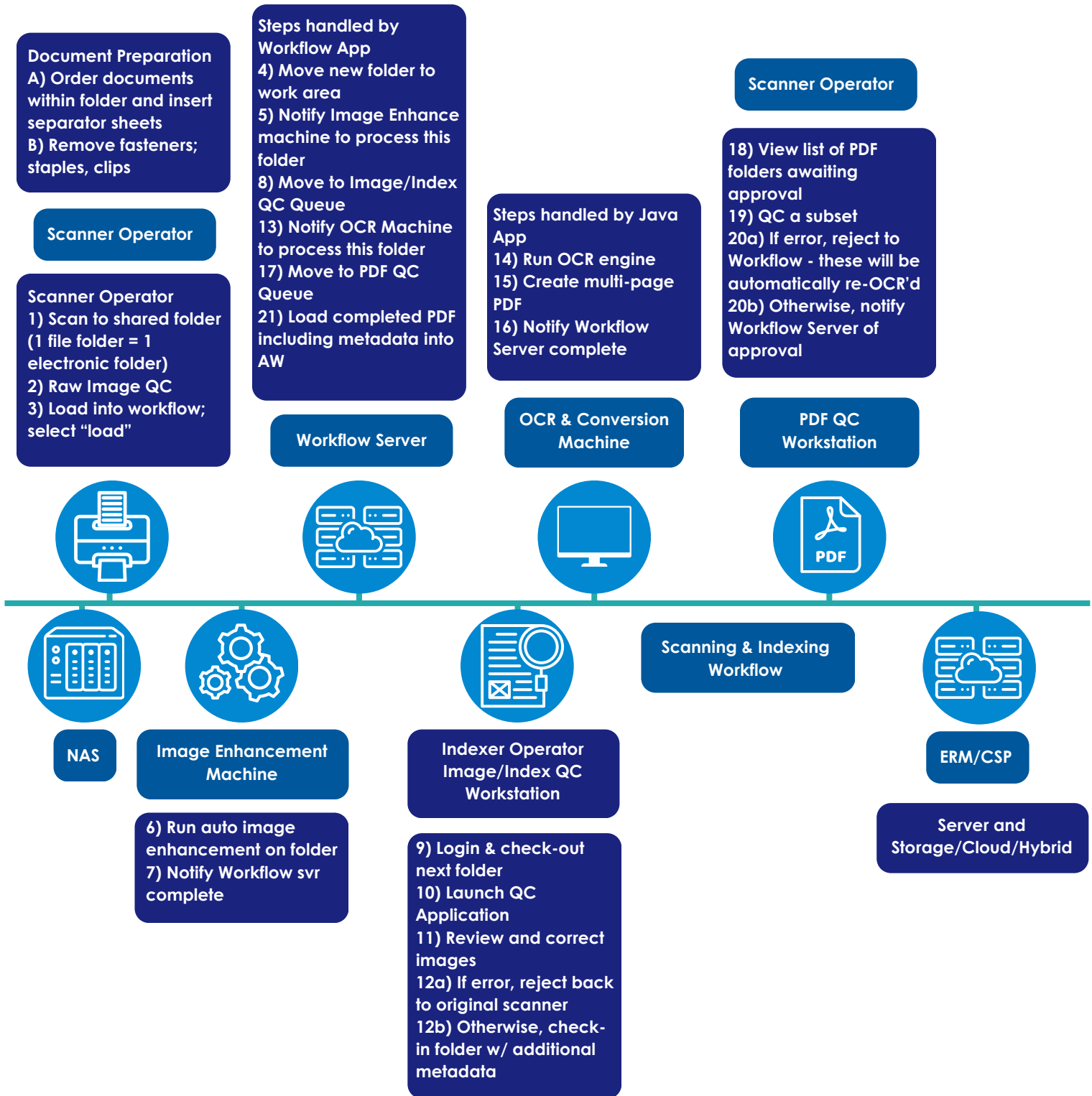
- **Approved DOD Classified Capability**
- **Paper Scanning**
- **Engineering Drawings**
- **Microfilm, Microfiche**
- **Photographs and Slides**
- **Books and Journals**
- **Video and Audio**



Content Conversion

- **Requirements Analysis and Needs Assessments**
- **Metadata Creation**
- **Optical Character Recognition (OCR)**
- **Intelligent Character Recognition (ICR)**
- **Image Enhancement**
- **Custom Data Conversion**
- **Process Many File Formats**

Best Practice Large Scale Digitization Workflow



Can AI/ML help my agency with Records Management?

Records Creation, Location and Capture

- Highly accurate AI/ML enhanced OCR/ICR
- Entity Identification and Extraction for Automatic Metadata Creation
- Analysis of data to perform Automatic Record Classification (data filing) IAW the agencies File Plan

Records Maintenance & Use

- Data Analytics
- Research
- Legal
- Privacy Act
- FOIA
- Declassification
- Automated Data routing
- Document Deduplication

AI/ML Outcome

- AI/ML will Accelerate Digital Transformation by reducing the level of monotonous document processing such that humans can now concentrate on other tasks

What if there is no way to comply by the deadline?

→ If agencies are unable to meet M-23-07 goals by the deadlines, they can request an exception using [NARA Bulletin 2020-01](#).

→ **Criteria for Exceptions:**

- Cases where replacing analog records with electronic systems would be burdensome to the public;
- Situations where, following a comprehensive analysis considering all relevant factors, the cost would exceed the benefit;
- Cases where analog records cannot be replaced for some other reason, including statutory or regulatory barriers

→ Exceptions will be granted based on a combination of criteria, broadly outlined in M-23-07 & M-19-21, as part of an overall business case such as:

- The cost for digitization services
- The cost for reference services
- The cost for legal analysis of ownership and access issues
- Time estimates with supporting documentation for how long an exception would be needed

→ Agencies should submit one request to cover all the records series they believe need exceptions after conducting an analysis of agency records and business needs.

What is the complete solution to M-23-07?

For Federal agencies looking to achieve M-23-07 compliance, PTFS stands as the ultimate solution. This total M-23-07 package, consisting of digitization services and the versatile Knowvation RM software, simplifies the transition to electronic records.

With over 20 years of digitization expertise, PTFS excels in converting hardcopy records into digital formats, covering a wide array of materials. This proficiency overcomes a significant compliance hurdle.

On the other hand, Knowvation RM is the perfect tool for efficient electronic records management. Its advanced features facilitate record organization and retrieval, ensuring compliance with NARA and DoD standards.

Beyond compliance, this partnership fosters transparency and efficiency in government operations, aligning with the intention of M-23-07. PTFS and Knowvation RM offer agencies not only the means to meet regulations, but also the tools to enhance public engagement and government services.

In the journey towards M-23-07 compliance, PTFS and Knowvation RM emerge as the ideal allies, providing expertise, innovation, and unwavering support to build a more transparent and accountable government.



Contact Information

[Request a demo today!](#)

Office :

1801 Research Blvd., Suite 310
Rockville, MD 20850

Phone Number :

(301) 654-8088



Email :

info@ptfs.com