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Office of the Chief
Records Officer for the
U.S. Government

NATIONAL ARCHIVES *and* RECORDS ADMINISTRATION

Federal Electronic Records Modernization Initiative: Lessons Learned in Electronic Records Preservation DPC Briefing Day

May 20, 2021

OFFICE of the CHIEF RECORDS OFFICER for the U.S. GOVERNMENT



Office of the Chief
Records Officer for the
U.S. Government

Who We Are

- Independent Federal Agency
- 2,400 Employees, 40 Locations
- \$380 Million Budget



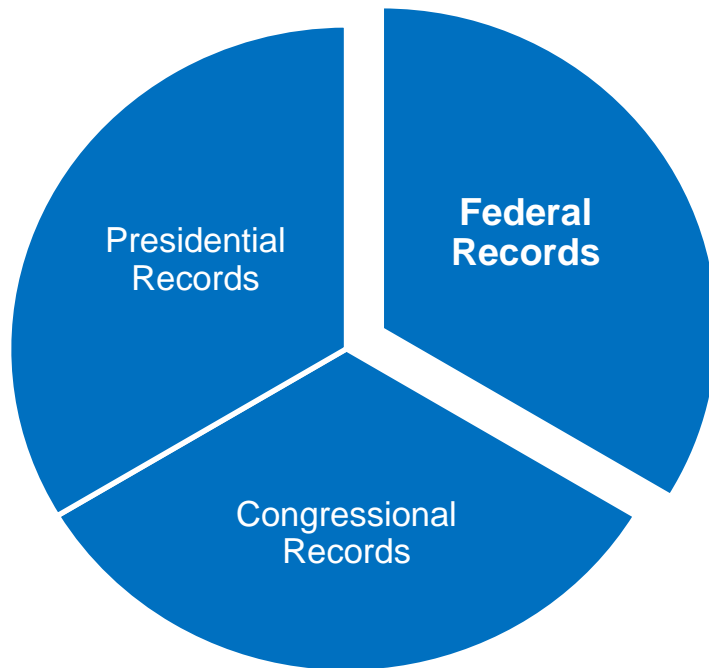
Office of Chief Records Officer

- Training
- Oversight
- Policy and Outreach
- Operations (Scheduling & Appraisal)



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Sources of Records





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Presidential Records Act and Federal Records Act Amendments of 2014

CONGRESS.GOV
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Current Legislation ▾

Examples: hr5, sres9, "health care"

[Home](#) > [Legislation](#) > [113th Congress](#) > H.R.1233 [Print](#) [Subscribe](#) [Sh](#)

H.R.1233 - Presidential and Federal Records Act Amendments of 2014
113th Congress (2013-2014)

LAW

Sponsor: [Rep. Cummings, Elijah E. \[D-MD-7\]](#) (Introduced 03/18/2013)

Committees: House - Oversight and Government Reform | Senate - Homeland Security and Governmental Affairs

Committee Reports: [H. Rept. 113-127](#); [S. Rept. 113-218](#)

Latest Action: 11/26/2014 Became [Public Law No. 113-187](#).

Major Recorded Votes: 01/14/2014 : [Passed House](#)

Tracker:

Introduced

Passed House

Passed Senate

Resolving Differences

To President

Became Law



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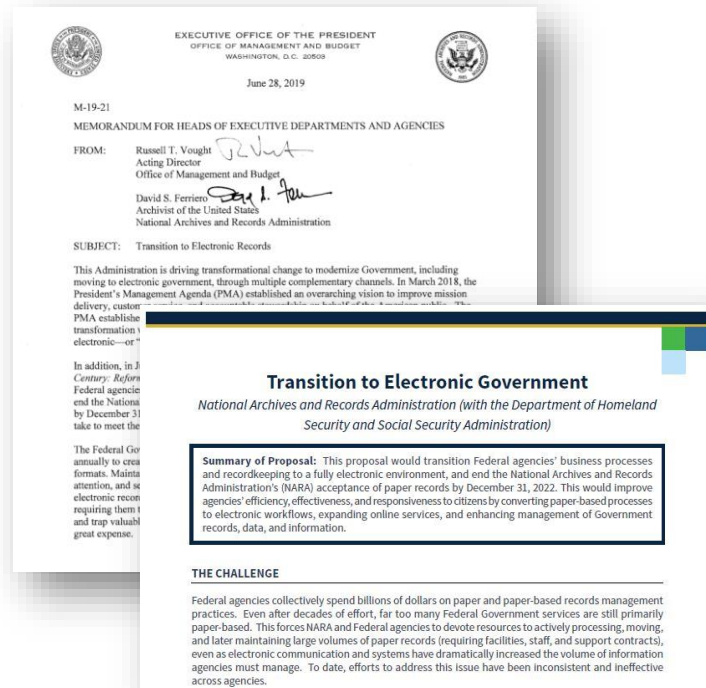
What's Driving Us – The Policy

Transitioning to Electronic Records

M-19-21 June 2019

NARA Strategic Plan 2018 – 2022

The President's Government Reform Plan – June 2018

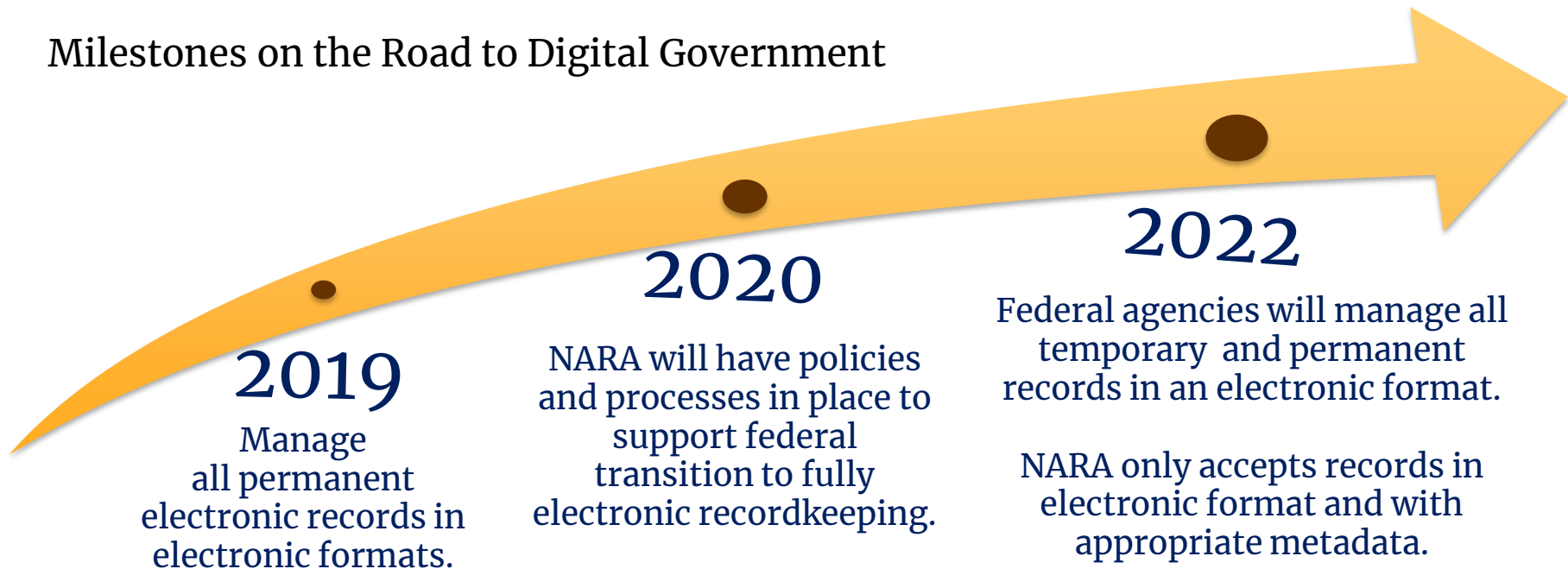




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What's Driving Us - The Goals

Milestones on the Road to Digital Government





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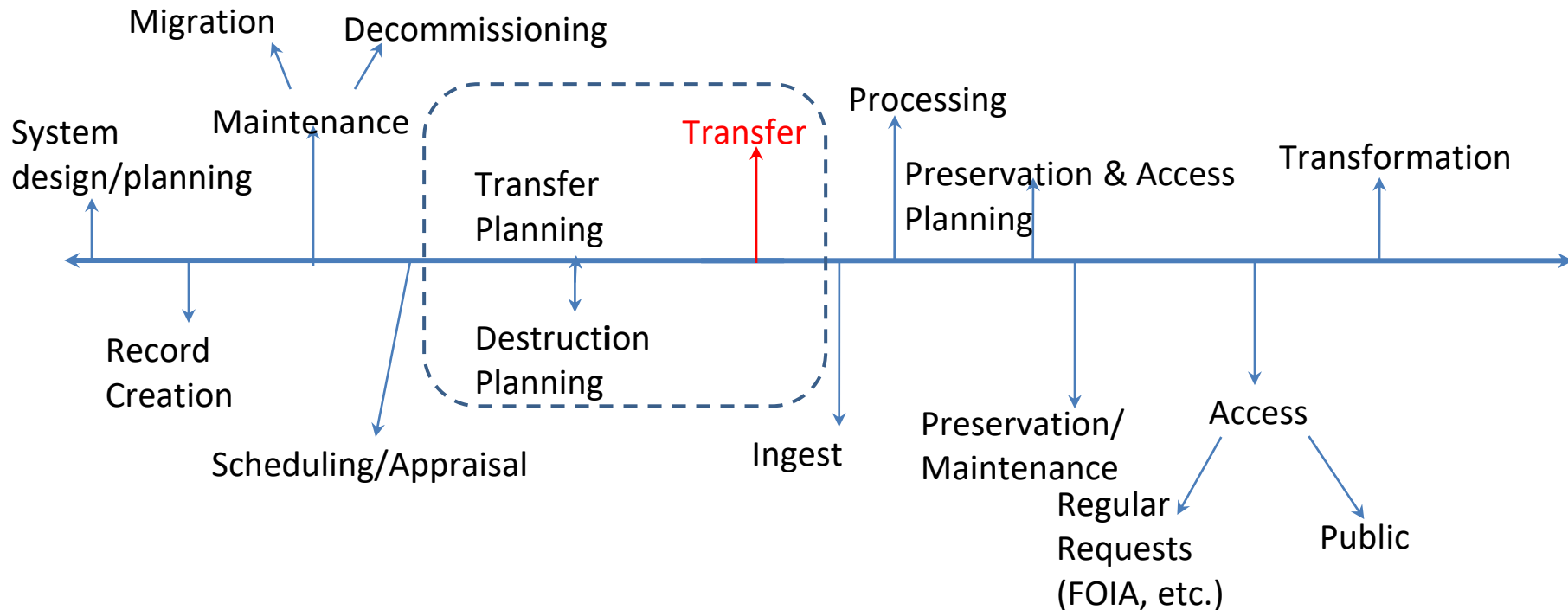
Framework for NARA's Policy and Guidance to Federal Agencies:

- We preserve records, not systems.
- Agencies use whatever technologies, systems and formats they need to in order to meet their business needs.
- We can tell Federal Agencies **What** records to transfer and **When** they should transfer them and in what formats we will accept them.
- Up until now we haven't told them **How**.



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We have authority from transfer on, not creation.





Transfer Guidance History

- NARA has been accepting transfers of e-records since the early 1970s. (EBCDIC & ASCII on magnetic tape).
- Expanded in 2003-2004 during an earlier Electronic Government initiative. Agencies and NARA identified 13 formats as important.
 - Required that agencies convert into these formats for transfer.
 - Made sense in the context of off-line preservation on tape.
 - Proved an obstacle if agencies were unwilling or unable to convert their records.
 - Resulted in some potential risks.
 - Didn't address metadata in a comprehensive manner.



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Policies for Transferring Permanent Electronic Records

- [NARA Bulletin 2014-04 Format Guidance for the Transfer of Permanent Electronic Records](#)
- [NARA Bulletin 2015-04 Metadata Guidance for the Transfer of Permanent Electronic Records](#)



Metadata is tricky

- Administrative metadata are captured at different points in the lifecycle (scheduling, transfer, accessioning).
- Descriptive information is inconsistent or completely absent.
- Processing archivists must “wrangle” metadata to make records available on the Catalog.



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NARA Bulletin 2015-04

Metadata Guidance

- Defines a minimum set of item level metadata elements.
- Based on the Dublin Core.
- Seeks to capture Who, What, Where, When and Why about records.
- Some elements are inherent, some aspirational.



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Federal Electronic Records Modernization Initiative (FERMI)

Two goals:

- To help agencies obtain electronic records management (ERM) solutions and services fitting their needs through an improved procurement process; and
- To proactively address changing trends in ERM by setting policy for new solutions and services.

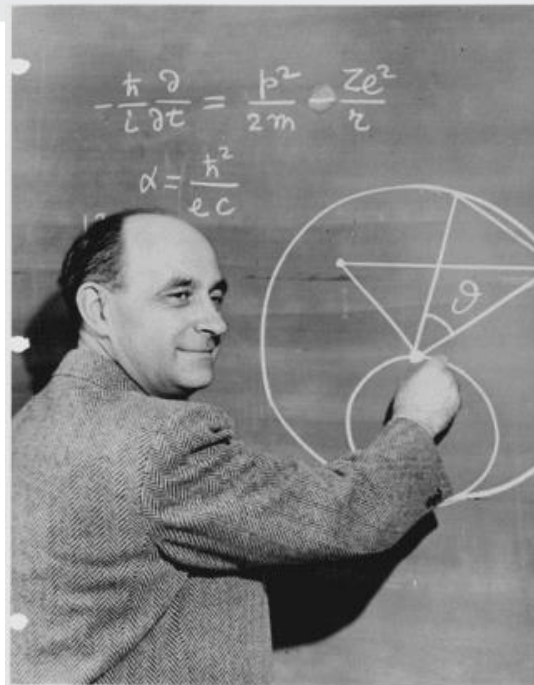


Photo of Enrico Fermi, ca. 1950, National Archives
Identifier 595043

FERMI Benefits



*Ruth Hinkins, math and computing programmer .
National Archives Identifier: 39147404.*

- Creating governmentwide standards to foster partnerships with the private sector and support long-term innovation.
- Vendors know what Federal agencies need for ERM.
- Leverage buying power by working together.
- ERM included in shared services which alleviates burden from individual users.



Universal Electronic Records Management (ERM) Requirements, Version 2

[RESEARCH OUR RECORDS](#)[VETERANS' SERVICE RECORDS](#)[EDUCATOR RESOURCES](#)[VISIT US](#)[AMERICA'S FOUNDING DOCUMENTS](#)

Federal Records Management

Home > Federal Records Management > Records Management Regulations, Policy, and Guidance > Universal Electronic Records Management (ERM) Requirements


Records Management Resources

- Email Management
- Records Management FAQs
- Memorandums to Agency Records Officers
- Federal Records Centers (FRC)
- Guidance and Policy for Accessioning
- Records Management Policy and Guidance
- Records Management Self Assessment (RMSA)
- Records Management Training
- Electronic Records Archives (ERA)
- Basic Laws & Authorities
- Meetings & Activities

Operating Status & Schedules

[View the National Archives Operating Status](#)

Universal Electronic Records Management (ERM) Requirements

 [Download the Universal Electronic Records Management Requirements, Version 2 Spreadsheet](#)

The Universal ERM Requirements identify high level business needs for managing electronic records. They are baseline ERM program requirements derived from existing statutes, standards, NARA regulations, policy, and guidance. They are a starting point for agencies to use when developing system requirements. Records management staff should work with acquisitions and IT personnel to tailor any final system requirements. The document contains a change log, abstract, list of lifecycle requirements, list of transfer format requirements, and a glossary.

NARA first released the Universal Electronic Records Management Requirements, Version 1 in August 2017. Version 2 was released in April 2020.

These requirements contain six sections based on the lifecycle of electronic records management:

1. Capture
2. Maintenance and Use
3. Disposal
4. Transfer
5. Metadata
6. Reporting

These requirements address born digital electronic records. The requirements are either "program" requirements, relating to the design and implementation of an agency's ERM policies and procedures, or "system" requirements, providing technical guidance to vendors in creating ERM tools and specifications for agencies to consider when procuring them. Users of this document can filter on "program" or "system" requirements as needed. This could be helpful in finding a list of requirements a system needs to manage electronic records.



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GSA Electronic Records Management Solutions

GSA U.S. General Services Administration

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Records Management

As technology has evolved and federal space has been reduced, the federal need for managing both physical and electronic records has grown in scale and complexity. In response to these challenges and to help agencies comply with federal records management statutes and regulations, GSA's Unified Shared Services Management (USSM) office and the National Archives and Records Administration (NARA) worked together to develop Universal Electronic Records Management (ERM) Requirements. Simultaneously, GSA's Integrated Workplace Acquisition Center (IWAC) incorporated these new requirements into Multiple Award Schedule (MAS).

Physical Records Management Solutions includes, but is not limited to, organizing physical records in any work area and tracking them electronically; indexing; scanning; labeling; barcoding; filing and storage; preparation of records for storage; and pickup, storage, and retrieval of records. This SIN also includes any ancillary supplies and/or services necessary to provide a total physical records management solution.

Electronic Records Management Solutions provides a comprehensive capability to solve the complex challenges posed by the movement, manipulation, archiving, security, and management of electronic records. The abilities to maintain records securely, manage access and retrieval, preserve records for as long as necessary, and execute disposition are included, as well as any ancillary supplies and/or services necessary to provide a total electronic records management solution.

Not sure about which products will best suit your workplace needs? Contractors available under office management can provide a comprehensive assessment of existing agency objectives, capabilities, and funding obligations and can provide recommendation(s) and support in developing requirements for a total office solution. Customers can also utilize office management to access education and training.

Top

- Physical RM
Special Item
Number
[493110RM](#)
- Electronic RM
Special Item
Number
[518210ERM](#)



ERM Vendor Capability Certification

- NARA's [Universal ERM Requirements](#) lists specific standards associated with each of the 11 elements
- Vendors select which of the 11 ERM elements they are capable of providing
- Vendor certification **illustrates vendor capabilities & demonstrates an understanding of the associated standards**. This helps ensure records are reliable and authentic, have integrity, remain usable, and include the necessary content and context
- **Completed certification published on [GSA eLibrary](#) as part of Contractor Terms & Conditions and on GSA's [Discovery Tool](#)**
- As the Universal ERM Requirements document is updated by NARA, **GSA incorporates the latest version** via Solicitation refreshes and corresponding modifications to existing contracts
- Efficiently communicates changes in ERM standards to contractors and customer agencies

Elements of Electronic Records Management Services

- ☐ Element 1 - Office Management Applications
- ☐ Element 2 - Electronic Messages
- ☐ Element 3 - Social Media
- ☐ Element 4 - Cloud Services
- ☐ Element 5 - Websites
- ☐ Element 6 - Digital Media (Photo)
- ☐ Element 7 - Digital Media (Audio)
- ☐ Element 8 - Digital Media (Video)
- ☐ Element 9 - Structured Data
- ☐ Element 10 - Shared Drives
- ☐ Element 11 - Engineering Drawings



ERM Procurement Roadmap

- Sharing template procurement documents for agencies to use when purchasing ERM services and solutions – Sample SOO ERM Program Needs Assessment
- Training for Records Management and Contracting staff
- Buying Guides



Annie Easley at worksite, 9/7/1978. National Archives Identifier: 17442357.

Federal Integrated Business Framework





Business Lifecycle and Capabilities

D10 X ✓ f

Records Disposal Eligibility refers to the process of identifying groups of records that have met their records retention period. The records must not be part of any hold or informa

A	B	C	D	E	F	G
1 Functions	Activity ID	Activities	Activity Definitions	Inputs	Processes	Outputs
ERM.010 Records Capture	ERM.010.010	Records Creation	Records Creation refers to the process of creating digital objects in the course of agency business.	1	0	0
	ERM.010.020	Records Validation	Records Validation refers to the process of verifying a digital object possesses the characteristics of a record.	0	4	0
	ERM.010.030	Records Retention	Records Retention refers to the process of analyzing the business value of groups of records and assigning retention periods.	0	3	0
ERM.020 Records Maintenance & Use	ERM.020.010	Access Level Management	Access Level Management refers to the process of determining the appropriate level of access for agency personnel to a record.	0	1	1
	ERM.020.020	Records Maintenance	Records Maintenance refers to the storage, retrieval, and handling of records by a Federal agency.	0	3	0
	ERM.020.030	Litigation Hold	Litigation Hold refers to the process of identifying a group of records and locking them down to ensure no changes can be made. The records will be locked down until the litigation hold is lifted.	2	1	1
	ERM.020.040	Information Request	Information Request refers to the process of identifying a group of records and making the records available to satisfy a Freedom of Information Act, Congressional, or e-discovery request.	2	1	1
	ERM.020.050	Records Migration	Records Migration refers to the process of identifying a group of records whose retention period is longer than the life of the records system and migrating those records to a new records system to serve out their retention period. It also refers to the process of converting records into acceptable formats to avoid technological obsolescence.	1	2	1
ERM.030 Records Disposal	ERM.030.010	Records Disposal Eligibility	Records Disposal Eligibility refers to the process of identifying groups of records that have met their records retention period. The records must not be part of any hold or information request to be eligible for disposal.	3	0	0
	ERM.030.020	Records Disposal Approval	Records Disposal Approval refers to the process of notifying business owners of records eligible for disposal and obtaining the proper approvals to destroy the eligible records.	0	1	1
	ERM.030.030	Records Disposal Action	Records Disposal Action refers to the process of disposing of records eligible and approved for disposal.	0	1	1

Cover Abstract **Functions & Activities** Capabilities Business Scenarios Glossary

- Based on USSM Federal Integrated Business Framework (FIBF)
- Identifies the key functions, activities, and capabilities
- Basis for use cases



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Universal Use Cases

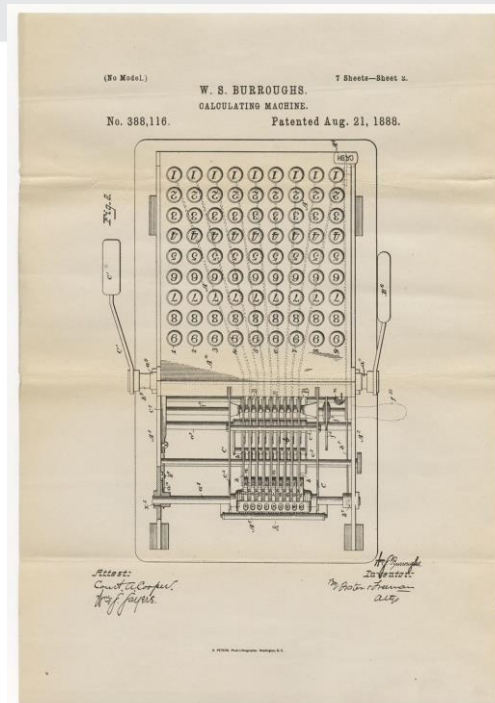


*Annie Easley at worksite, 9/7/1978. National Archives
Identifier: 17442357.*

- Document the standard workflows.
- Identify the roles and actions for actors.
- Can be used to evaluate and demonstrate a solution's functionality.

Standard Data Elements

- Purpose: Provide minimum data fields systems require to support management of electronic records
- Based on inputs/outputs from the Business Capabilities and Universal Use Cases
- Derived from:
 - NARA ERA 2.0 metadata dictionary
 - Dublin Core
 - NARA's minimum metadata requirements for definition of terms



Patent Drawing for a calculating machine,
8/21/1888. National Archives Identifier: 595511.



Electronic Records Management - Federal Integrated Business Framework

FUNCTIONAL AREA: Electronic Records Management (ERM)

FUNCTIONAL AREA LEAD: Office of the Chief Records Officer, National Archives and Records Administration

STANDARD DATA ITEMS: Minimum data fields required to support the inputs and outputs noted in the ERM FIBF Use Cases and Capabilities. Data fields

Functional Area	Data Item Label	Description	Life Cycle Phase	Activity Reference(s)	Business Capability Reference(s)	Authoritative Source
ERM	Creator	The agent primarily responsible for the creation of the record.	Capture Maintenance & Use Disposal	ERM.010.020 - Records Validation; ERM.020.010 - Access Level Management; ERM.020.020 - Records Maintenance; ERM.020.030 - Litigation Hold; ERM.020.040 - Information Request; ERM.020.050 - Records Migration; ERM.030.020 - Records Disposal Approval; ERM.030.030 - Records Disposal Action; ERM.030.040 - Temporary Records Retention Period Change	ERM.010.020.010; ERM.010.020.040; ERM.020.010.010; ERM.020.020.010; ERM.020.020.020; ERM.020.030.030; ERM.020.030.050; ERM.020.040.030; ERM.020.050.020; ERM.030.020.010; ERM.030.030.010; ERM.030.040.020	NARA Bulletin 2015-04: Metadata Guidance for the Transfer of Permanent Electronic Records, Appendix A
ERM	CreationDate	The date that the file met the definition of a Federal record. If a file (such as a case file, database or spreadsheet) holds multiple records created at different times, then this element should note the date the file was originally created and the span of dates should be recorded in the element Coverage [TemporalCoverage].	Capture Maintenance & Use Disposal	ERM.010.020 - Records Validation; ERM.020.010 - Access Level Management; ERM.020.020 - Records Maintenance; ERM.020.030 - Litigation Hold; ERM.020.040 - Information Request; ERM.020.050 - Records Migration; ERM.030.020 - Records Disposal Approval	ERM.010.020.010; ERM.010.020.020; ERM.010.020.030; ERM.010.020.040; ERM.020.010.010; ERM.020.020.010; ERM.020.020.020; ERM.020.030.030; ERM.020.030.050; ERM.020.040.030; ERM.020.050.020; ERM.030.020.010	NARA Bulletin 2015-04: Metadata Guidance for the Transfer of Permanent Electronic Records, Appendix A
ERM	Description	A narrative description of the content of the record, including abstracts for document-like objects or content descriptions for audio or video records.	Capture Maintenance & Use Disposal Transfer	ERM.020.020 - Records Retention; ERM.020.010 - Access Level Management ERM.020.030 - Records Maintenance; ERM.020.030 - Litigation Hold;	ERM.010.030.030; ERM.020.010.010; ERM.020.020.010; ERM.020.020.020;	NARA Bulletin 2015-04: Metadata Guidance for the Transfer of Permanent Electronic Records, Appendix A

Cover

Legend

Overview

Standard Data Items

Authoritative Sources





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Contacts for More Information

Records Express – Official Blog

<http://blogs.archives.gov/records-express/>

NARA Records Management webpage

<http://www.archives.gov/records-mgmt/>

FERMI Website

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

Records Management Policy Teams

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rmstandards@nara.gov



Switchboard, ca. 1948-2967. National Archives
Identifier: 19996695.