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

May 20, 2021
• Independent Federal Agency
• 2,400 Employees, 40 Locations
• $380 Million Budget

Office of Chief Records Officer
- Training
- Oversight
- Policy and Outreach
- Operations (Scheduling & Appraisal)
Presidential Records Act and Federal Records Act Amendments of 2014
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
Manage all permanent electronic records in electronic formats.

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

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

NARA only accepts records in electronic format and with appropriate metadata.
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.
We have authority from transfer on, not creation.
NARA has been accepting transfers of e-records since the early 1970s. (EBCDIC & ASCII on magnetic tape).


- 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.
Policies for Transferring 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.
● Defines a minimum set of item level metadata elements.
● Based on the Dublin Core.
● Some elements are inherent, some aspirational.
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.
● 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

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 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.


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.
GSA Electronic Records Management Solutions

- Physical RM Special Item Number 493110RM
- Electronic RM Special Item Number 518210ERM

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.
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
Federal Integrated Business Framework

Federal Business Lifecycle
End to End Processes
Service Activities List

Performance Metrics

Business Capabilities

Standard Data Elements

Business Use Cases

FIBF

Financial Mgmt
Travel
Human Capital

Grants Mgmt
Cybersecurity
Acquisition

Records Mgmt
IT
FIBF

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

NATIONAL ARCHIVES and RECORDS ADMINISTRATION
Business Lifecycle and Capabilities

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

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


**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

<table>
<thead>
<tr>
<th>Functional Area</th>
<th>Data Item Label</th>
<th>Description</th>
<th>Life Cycle Phase</th>
<th>Activity Reference(s)</th>
<th>Business Capability Reference(s)</th>
<th>Authoritative Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>ERM</td>
<td>CreationDate</td>
<td>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).</td>
<td>Capture</td>
<td>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.020.060 - Records Disposal Approval</td>
<td>ERM.010.020.010; ERM.010.020.020; ERM.010.020.030; ERM.010.020.040; ERM.010.020.050; ERM.010.020.060; ERM.020.010.010; ERM.020.010.020; ERM.020.010.030; ERM.020.010.040; ERM.020.010.050; ERM.020.010.060</td>
<td>NARA Bulletin 2015-04: Metadata Guidance for the Transfer of Permanent Electronic Records, Appendix A</td>
</tr>
<tr>
<td>ERM</td>
<td>Description</td>
<td>A narrative description of the content of the record, including abstracts for document-like objects or content descriptions for audio or video records.</td>
<td>Capture</td>
<td>ERM.020.020 - Records Retention; ERM.020.010 - Access Level Management; ERM.020.020 - Records Maintenance; ERM.020.030 - Litigation Hold</td>
<td>ERM.010.030.010; ERM.010.030.020; ERM.010.030.030; ERM.010.030.040; ERM.010.030.050; ERM.010.030.060; ERM.020.010.010; ERM.020.010.020; ERM.020.010.030; ERM.020.010.040; ERM.020.010.050; ERM.020.010.060</td>
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</tbody>
</table>
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
rmpolicy@nara.gov
rmstandards@nara.gov

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