

Electronic Records Policy Working Group Plan

FINAL

Goal:

Develop recommendations and a timetable for implementation of those to the Archivist of the United States and the OMB Director for policies and procedures ensuring effective management of electronic records (Internet-based and otherwise).

Objectives:

- Identify barriers to effective management of "Government information on the Internet and other electronic records".
- Identify common characteristics of temporary and permanent records generated by lines of business [LOBs]/sub-functions of the FEA Business Reference Model [BRM] (v. 2).
- Identify interim, realistic and useful tools for the creation and management of these records.
- Identify longer term solutions compatible with the Electronic Records Archives. The Electronic Records Archives (ERA) is NARA's strategic IT system response to the challenge of preserving, managing, and providing access to electronic records. ERA will authentically preserve and provide access to any kind of electronic record, free from dependency on any specific hardware or software, enabling NARA to carry out its mission in the future.
 - It is important that, for "Government information on the Internet and other electronic records" which have been appraised as permanent, ERPWG's products and recommendations are compatible with directions being taken by the Electronic Records Archives.
 - ERA will provide a set of collaboratively developed tools that can be used by Federal agencies to assist them in managing their records and transferring them to NARA.
 - An ERA Program Management Office representative is a member of the ERPWG to ensure appropriate coordination.

Definitions:

- Government information on the Internet, includes:
 - Information posted on Government public web sites
 - Information exchanged between Federal agencies
 - Information exchanged between Federal agencies and the public
 - Information exchanged between Federal agencies and other governments
 - Government-enabled web services
 - Standard government forms
 - E-Government business transactions

- Other electronic records: electronic information meeting the definition of a Federal record per 44 USC 3301.

Questions to be Answered:

- Who are the stakeholders concerned with this working group of the ICGI?
- What do those stakeholders expect to see as a result of Section 207(e)(1-2) of the eGov Act?
- What is the best mechanism for obtaining input from these stakeholders?
- How do our stakeholders think we should we define "Government information on the Internet"?
- What are the barriers to effective management of Government information on the Internet and other electronic records?
- What are the common characteristics of records generated via the LOBs of the FEA BRM (v. 2) and how can those characteristics be standardized/specified?
- What is the relationship between integrity, availability, security and ERM?

Initial Work Plan Tasks:

1. ERPWG develops formal workplan for ICGI review and approval.
2. ERPWG completes a 'scrub' of the relevant portions of Title 44, NARA regulations and NARA guidance, Circulars A-11 and A-130, Title 17 [GPEA], the Federal Information Security Management Act of 2002, and Title 35 [Paperwork Reduction Act] to identify potential regulatory barriers to the effective management of Internet-based and other electronic records.
3. Hold collaborative outreach sessions with stakeholders re.: identified barriers and proposed guidance topics that address those barriers.
4. Produce barriers report to inform guidance needs.
5. Determine toolbox framework to address effective ERM in legacy and future systems.
6. Determine common characteristics of records produced by the FEA BRM.
7. Develop recommendations for Archivist & OMB Director.
8. Produce toolbox contents.

Proposed Timeline:

Task	Start Date	End Date
1.0 ERPWG Workplan Development	12/15/2003	2/5/2004
2.0 Targeted outreach	2/7/2004	3/31/2004
3.0 Production of 'identified' barriers report	1/20/2004	4/30/2004
4.0 Identify common characteristics of records in FEA BRM (v.2)	5/1/2004	6/25/2004
5.0 Develop toolkit framework	6/26/2004	8/17/2004

**6.0 Development of recommendations of ERPWG to
Archivist/Director of OMB**

8/17/2004 12/17/2004

Proposed Deliverables:

- Framework for 2 ERM 'toolboxes'
 - ERM toolbox for legacy systems/applications that produce Internet-based and other e-records
 - ERM toolbox for systems/applications being developed that produce Internet-based and other e-records
 - Potential toolbox contents
 - References to ERM system requirements
 - Implementation/development checklists
 - Citations to applicable standards
 - Best practices
 - Guidance
 - A revised GRS to improve ERM
 - Flexible and front-end scheduling to enable improved ERM
 - Promotion of new acceptable transfer formats developed by ERM eGov Initiative in FY '03-04
 - Targeted ERM assistance to Federal agencies via NARA staff

- Required Training (for system developers/users and record creators) in Integrating RM into Business Processes
 - NARA will conduct a modular re-design of its training program as part of the Records Management Initiatives and will develop the capability to deliver ERM-relevant modules via both leader-led and distance learning instruction methods under the ERM eGov Initiative.

- End of Year 1 deliverables
 - Recommendations to Archivist and OMB Director

- Year 2 deliverables
 - Toolbox contents per approved framework
 - Generic record templates (i.e., XML schema) to facilitate agency management of information, interoperability, and future ingest of records into the Electronic Records Archives.
 - Item-level record metadata;
 - Aggregations of documents/records (e.g., series of annual reports, regulatory dockets, or case files);
 - Transfers of groups of records (either between agencies or from agencies to NARA facilities/systems).
 - System & application development/RM requirements integration guidance

Candidates for 'targeted outreach':

- Internal to Federal Govt

- Agency Records Officers
 - Agency General Counsel
 - Federal Information & Records Managers [FIRM] Council
 - Federal Web Content Mgrs
 - CIO Council
 - Agency IG's
 - GAO
 - Congressional staff
 - GPO Superintendent of Documents [FDLP]
 - Federal Librarians
- External to Federal Govt
 - Librarians & info dissemination community
 - Library associations
 - Govt 'watch dog' groups
 - Research & educational community
 - Teachers
 - Graduate schools/student in information professions
 - Historical/social science professional organizations

Stakeholder Consultation Mechanisms:

- Federal Register notice
- Meetings with specific constituencies (one or more internal-to-the-government and one or more external-to-the-government)
 - Two sessions of targeted meetings (internal-to-the-government stakeholders) to judge the method of getting feedback.
- General meeting - to be held after the targeted meetings to validate the feedback in a larger forum