



# Partnerships in Innovation II: From Vision to Reality and Beyond

## College Park, MD



### Session #1

## The Electronic Records Archives (ERA) System: Architecture, Implementation, and Organizational Impact

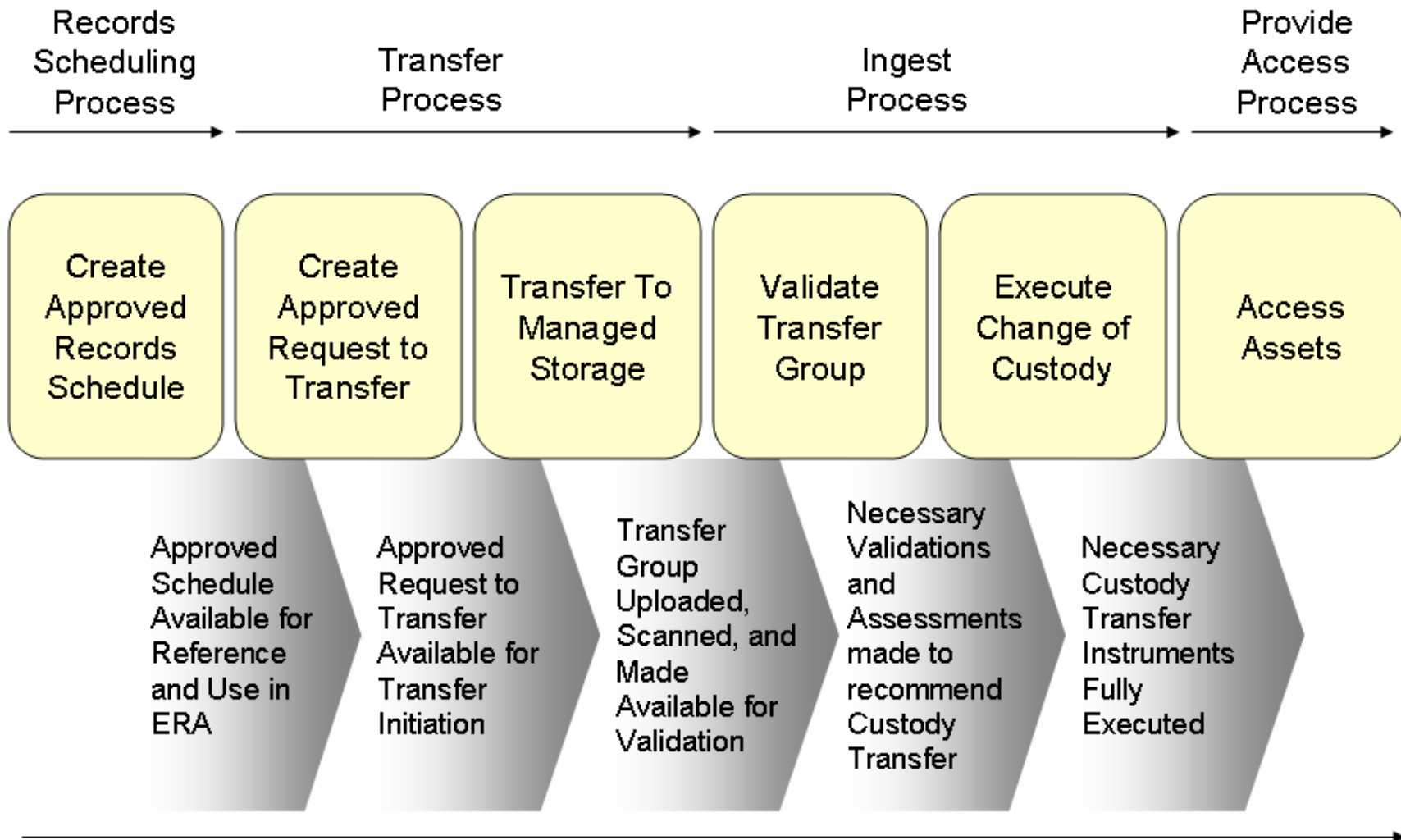
October 7, 2008

Rick Rogers, President  
Fenestra Technologies

October 7-8, 2008



# ERA Functional Flow





# Using ERA to Schedule Records



General Info

Item Info

## General

*Records Schedule ID:	DAI-PENDING-2008-0011	*Internal agency concurrences will be provided:	<input type="button" value="Yes"/>
*Schedule Subject:	<input type="text" value="Politico Military Affairs Records"/>	*Record Group:	<input type="text" value="0059 - General Records of the Department"/>
*Agency or Establishment:	Department of State	Records Schedule applies to:	
*Legacy Schedule:	No	<input checked="" type="radio"/> Major Subdivision	<input type="radio"/> Agency-wide
Status:	Draft	<input type="radio"/> General Records Schedule	
		*Major Subdivision:	<input type="text" value="Bureau of Politico Military Affairs"/>
		Minor Subdivision:	<input type="text" value="Office of Arms Transfer and Export"/>

## Background

Background Information:	<input type="text" value="The office is responsible for preventing the export of materials where export would prove injurious to U.S. national security"/>
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## GAO Concurrence

Items:	
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## Records Scheduler

*First Name	*Last Name	*Title
<input type="text" value="Jane"/>	<input type="text" value="Doe"/>	<input type="text" value="Records Manager"/>

## Actions Contact Persons

Select	First Name	*Last Name	Title	*Phone	Email
<input type="checkbox"/>	<input type="text" value="Mary"/>	<input type="text" value="Jones"/>	<input type="text" value="Bureau Chief"/>	<input type="text" value="202-555-1212"/>	<input type="text" value="mjones@state.go"/>



# Describing Records



\* Required fields

General			
*Title:	<input type="text"/>	Item ID:	<input type="text"/>
*Description:	<input type="text"/>		
*Does agency have an associated manual?	<input type="text"/>	Overview Title:	No Overview
		Records Schedule ID:	DAI-PENDING-2008-0011
		Legacy Schedule:	No
		*GAO Concurrence Required:	<input type="text"/>
			<input type="checkbox"/> Requested <input type="checkbox"/> Received
*Is this a change to an approved schedule?	<input type="text"/>		
*Is this item media neutral?	<input type="text"/>	*Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	<input type="text"/>
Final Disposition			
*Final Disposition:	<input type="radio"/> Permanent <input checked="" type="radio"/> Temporary		

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# Temporary Disposition



Temporary Disposition Instructions

Cut-off Instructions:

Transfer to Inactive Storage

Records to which these transfer instructions apply:

Time after cut-off when transfer occurs:

Transfer to: 

- Specific FRC
- Non-NARA storage facility
- Will not be transferred
- Transfer to NARA

Retention Period

Destroy immediately on cut-off

Destroy   after cut-off

Destroy between  years and  years after cut-off

Destroy no sooner than  years after cut-off, but longer retention is authorized

Destroy no later than  years after cut-off

Destroy when no longer needed

Destroy  years after cut-off or when  occurs, whichever is sooner

Destroy  years after cut-off or when  occurs, whichever is later

Destroy  years after cut-off or  years after  occurs, whichever is sooner

Destroy  years after cut-off or  years after  occurs, whichever is later

Other





# Permanent Disposition



## Final Disposition

•Final Disposition:  Permanent  Temporary

## Permanent Disposition Instructions

Cut-off Instructions:

Cut off at the end of every calendar year



## Transfer to Inactive Storage

Records to which these transfer instructions apply:

Transfer to:

Time after cut-off when transfer occurs:

Estimated First Transfer:

 (mm/dd/yyyy)

## •Transfer to NARA for Accessioning

- Accession immediately on cut-off
- Accession   after cut-off
- Accession between  years and  years after cut-off
- Accession in  year blocks  years after cut-off of most recent records in the block
- Other



•Estimated Date of First Accession:  02/01/2009 (mm/dd/yyyy)

If records are not transferred to NARA physical custody when legal custody is transferred, specify institution that will maintain physical records:

## Additional Information

•Estimated Current Volume

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Annual Accumulation



# Accession Planning





Additional Information	
<b>Estimated Current Volume</b>	<b>Annual Accumulation</b>
<input type="checkbox"/> Electronic/Digital: <input type="text"/> <input type="text"/>	<input type="checkbox"/> Electronic/Digital: <input type="text"/> <input type="text"/>
<input type="checkbox"/> Paper: <input type="text"/> cubic feet	<input type="checkbox"/> Paper: <input type="text"/> cubic feet
<input type="checkbox"/> Microform: <input type="text"/> microfiche <input type="text"/> microfilm rolls	<input type="checkbox"/> Microform: <input type="text"/> microfiche <input type="text"/> microfilm rolls
<input type="checkbox"/> Traditional Special Media: <input type="text"/> Units: <input type="text"/>	<input type="checkbox"/> Traditional Special Media: <input type="text"/> Units: <input type="text"/>
<input type="checkbox"/> Unknown: <input type="text"/> <input type="button" value="ABC"/>	<input type="checkbox"/> Unknown: <input type="text"/> <input type="button" value="ABC"/>
<b>Date Span</b>	
<b>First year of records accumulation:</b> <input type="text" value="0"/>	<b>End year of records accumulation:</b> <input type="text"/>
	<input type="radio"/> Records ceased accumulation in <input type="text"/>
	<input checked="" type="radio"/> Records are still being accumulated
<input type="button" value="Save"/> <input type="button" value="Done"/> <input type="button" value="Cancel"/>	

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# Using ERA to Transfer Records



General Info			
*Transfer Request ID:		*Records Schedule Item ID:	<a href="#">Attach Record Schedule Item</a>
*Creating Agency/Establishment:		Agency Manual ID:	
Major Subdivision:	<input type="text"/>	Agency File Code:	
Minor Subdivision:	<input type="text"/>	LTI:	
*Record Group Number:		*Legacy Data:	<input type="text"/>
*Transfer Group Description:	<input type="text"/>	Legacy Transaction Number:	<input type="text"/>
	 	*Security Scan:	<input type="text" value="No"/>
		Status:	

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# Transfer Request Details



\*Transfer Method

Electronic Records Transferred by Electronic Means

Electronic Push:  Electronic Pull: Estimated volume:  MB: \*ERM Categories:

Electronic Records on Physical Media

Actions

<input type="checkbox"/>	Quantity:	Transfer Media Type:	Description:	ERM Categories:
<input type="checkbox"/>	<input type="text" value="0"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Media Disposition:

Physical Transfer of Non-Electronic Records

Actions

Special Media Type:  Paper:

<input type="checkbox"/>	Quantity:	Special Media Type:	Description:
<input type="checkbox"/>	<input type="text" value="0"/>	<input type="text"/>	<input type="text"/>

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# Centralized View



Search Results										
<a href="#">2008-0001</a>	by country names	State	Shipments				kang			
<a href="#">TR-0059-2008-0002</a>	Subject Files – Arrange by TAGS and Terms	Department of State	Approved	0059	Y	W059-91-0161	kenneth kang	05/28/2008	05/28/2008	05/28/2008
<a href="#">TR-0059-2008-0003</a>	FAIS Main Text File	Department of State	Approved	0059	Y	NN3-059-04-008	kenneth kang	05/28/2008	05/28/2008	05/28/2008
<a href="#">TR-0059-2008-0004</a>	Country Files – Arrange by country names	Department of State	Approved	0059	Y	W059-000625	Justine Tolson	06/04/2008	06/04/2008	06/04/2008
<a href="#">TR-0059-2008-0005</a>	FAIS Main Text File	Department of State	Approved	0059	Y	NN3-059-04-008	Derica Carty	06/15/2008	06/15/2008	06/16/2008
<a href="#">TR-0059-2008-0010</a>	Subject Files – Arrange by TAGS and Terms	Department of State	Proposed	0059	N		Derica Carty	06/15/2008	06/15/2008	06/15/2008
<a href="#">TR-0059-2008-0011</a>	Subject Files – Arrange by TAGS and Terms	Department of State	Proposed	0059	N		Derica Carty	06/15/2008	06/16/2008	

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# Using ERA to Transfer Electronic Records



## ERA Packaging Tool

Shipment Build

Shipment Properties Data Files

Shipment File Count: 10 Total Shipment Size: 0.0 MB

### File System Structure

- My Computer
  - C:\
  - D:\
    - 3-257-96-005
      - XMIS\_000392
      - XMIS\_000393
      - XMIS\_000394
      - XMIS\_000395
      - XMIS\_000396
      - XMIS\_000397
      - XMIS\_000398
      - XMIS\_000399
      - XMIS\_000400
    - Apps
    - DATA
    - ERA
    - ILEAF6
    - MCAFEE
    - SPOOL
    - TEMP
  - E:\
  - F:\
  - M:\
  - S:\
  - Y:\

### Shipment Structure

- Shipment Content
  - 3-257-96-005
  - XMIS\_000400

Associated Documentation

Filesystem Path



# Scanning Records



Summary

NARA Standards Verification

Data Type Template Verification

Reports

[Virus Scan Report](#)

[Security Scan Report](#)

[File Record Count Report](#)

[Auto Verif. Summary Report](#)

[DTT Verification Summary Report](#)

[Manual Verification Summary Report](#)

## Anti Virus Information

Date Performed: 2008-06-25T10:52:27.000-04:00

AntiVirus Software:

Name: F-PROT ANTIVIRUS

Version: 4.6.7

DataBase: SIGN.DEF created 13 April 2008,SIGN2.DEF created 13 April 2008,MACRO.DEF created 13 April 2008

Engine: 3.16.15

Files That Failed Scan:

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# Verifying Records



File Id:	2
File Name:	C:\Documents and Settings\kkang\Desktop\Test_Shipment\NARA IV Input\era2\DSCN0034.JPG
Data Type:	JPEG
Possible Transfer Guidance Categories:	Digital Photo
Verified Fields:	JPEG_VERSION_RULE- JPEG File Versions are valid.fileVersion:
Nonverified Fields:	GRAYSCALE and RGB bit per channel rules not verified.: bitDepthName=YCBCR bitsPerChannel=8
Deviations:	<p>PROMULGATION_DATE_RULE- File must not be created before promulgation date: promulgationDate=11/12/2003 creationDate=12/02/0002</p> <p>RESOLUTION_RULE- Resolution must be at least 2000 lines or 2MP: imageWidth=1024 imageLength=768 totalSize=786432</p> <p>OLD_FILE_MIN_LINES_RULE- Scanned photos created before 1/1/2005 must be a minimum of 2000 lines: Cannot verify fields imageLength: 768 imageWidth: 1024 creationDate: 12/02/0002</p> <p>OLD_FILE_MIN_PIXEL_RULE- Digital photos created before 1/1/2005 must be at least 2MP imageLength: 768 imageWidth: 1024 creationDate: 12/02/0002 calculated totalSize: 786432</p>

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# Collaborating to Resolve Problems



Header Information : TPR-0059-2008-0001

*Transfer Request #:	TR-0059-2008-0001	Transfer Group #:	0059-2008-0001
Agency:	Department of State	Status:	Draft

\* Actions Problem List

Shipment #	Problem Type
<input type="checkbox"/> Non-Electronic Shipment	<a href="#">Missing Records</a>

Final Action

*Final Recommendation:	Accept Physical Custody
Final Action Date:	
Justification:	<input type="text"/>
Final Action Official:	

Problem Detail Enter problem details, then click Update

*Shipment #:	Non-Electronic Shipment
*Problem Type:	Missing Records
Problem Description:	<input type="text"/>
*Problem Recommendation:	Accept Physical Custody
<input type="button" value="Update"/>	

Delete Save Submit Cancel

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# Accessing Records in Context



[Home](#) / [Records Schedules](#) / [DAL-0059-2008-0001](#) / [DAL-0059-2008-0001-0001](#) / [TR-0059-2008-0001](#) / [TR-0059-2008-0001-SM-2](#) / [Shipment Content](#) / [NN3-059-04-008](#) / [XMIS\\_000392](#)

Folders

[sampledata392.nwme \(sampledata392\)](#)

Summary | Referenced Assets | Extended Lifecycle Data

ID #:	sampledata392.nwme
Asset Title:	sampledata392
Record Group:	0059
Source:	Department of State
Date Added to Catalog:	06/23/2008
Date Last Modified:	unmodified
Status:	In Shipment

Versions

ID	Version
sampledata392.nwme	0