



The Electronic Records Archives (ERA)

RACO 2006

**RECORDS
ADMINISTRATION
CONFERENCE**

**Partnerships and Practices in
Electronic Records**

Washington, DC

May 9, 2006

**Recent Developments in the
Electronic Records Archives (ERA) Program**

**Fynnette Eaton
ERA Program Staff**



The ERA System Will Support:

- **Workflow and collaboration tools**
for lifecycle management of all types of records,
temporary and permanent
 - within NARA
 - between NARA and other agencies
- **Ingestion, preservation and access to electronic records**
 - In the National Archives,
 - Federal Records Centers, and
 - Presidential Libraries



Agency Involvement in ERA

- **Wide-scale Agency participation**
 - not scheduled until Increment 2
- **Four Agencies were selected to**
 - Provide early Agency on-boarding
 - Ensure valuable Agency input during Increment 1
- **Three of the four agencies have agreed to participate:**
 - U.S. Patent and Trademark Office
 - Department of the Navy, Naval Oceanographic Office
 - National Nuclear Security Administration



Increment 1 Agency Involvement in ERA

Increment 1 Agencies will contribute to the System development in the following ways:

- **Human factors:** Focus groups on the system user interface and early user involvement activities
- **Communications:** Serve as an ERA Ambassador (i.e. change agent)
- **Testing:** Help ascertain the usability and operational effectiveness of the system
- **Training:** Serve as a desk-side coach or as a formal ERA trainer



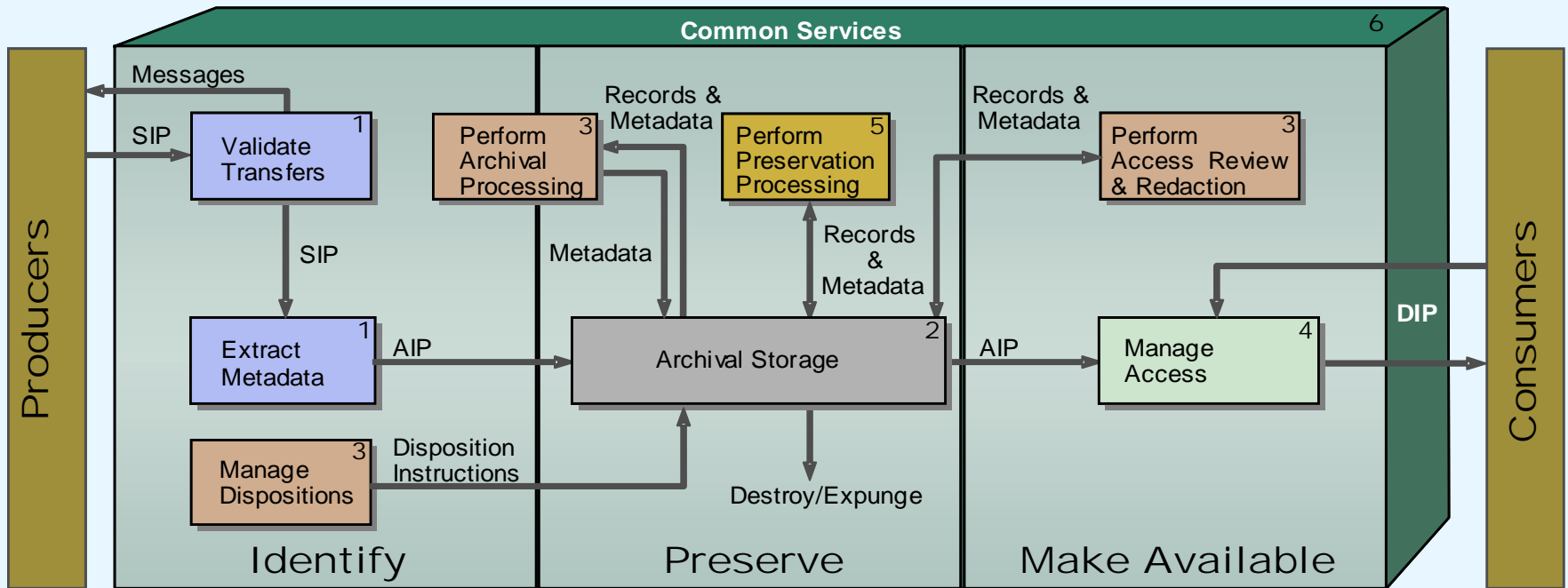
How Can You Participate?

Additional Agency participation being considered in the following areas:

- Participation at ERA system design reviews
- Attendance at ERA prototype/awareness sessions
- Participation in early user involvement activities



ERA is Based on the Archival Mission



Legend:	OAIS Functions	ERA System -Level Packages	Service Oriented Architecture
	1- Ingest	Ingest	Business Application Services
	2- Archival Storage	Archival Storage	
	3- Data Management	Records Management	
	4- Access	Dissemination	
	5- Preservation	Preservation	
	6- Common Services	Local Services & Control ERA Management	Common Infrastructure Services



Examples of ERA System Prototype Screenshots for Archival Workbenches



A Caveat

The following images are ONLY EXAMPLES from the 2005 ERA Prototype that illustrate archival functions for the **Appraisal and Scheduling processes**

When the ERA System goes live in 2007, these screens may look completely different.

Welcome Screen



http://dev:7001/Portals/Static/about_era.html - Microsoft Internet Explorer provided by Lockheed Martin T55

File Edit View Favorites Tools Help

Address http://dev:7001/Portals/Static/about_era.html

Back Forward Stop Home Search Favorites Media Print Mail News RSS

Electronic Records Archives

U.S. National Archives & Records Administration

Welcome to ERA June 8th, 2005 ERA Home Search Contacts Forum Help Login

- ERA Home
- About ERA
- ERA News & Events
- What's New
- Digital Classroom
- Presidential Libraries
- NARA Home Page
- Related Websites
- Site Index

Quick Login

User ID:

Password:

Login

Government Links

- The National Archives EXPERIENCE
- ourdocuments
- FIRST GOV Your First Click in the U.S. Government
- REGULATIONS.GOV
- No Fear Act

Welcome to NARA - Electronic Records Archives

About ERA

The electronic records challenge is formidable, but as an agency, NARA is committed to addressing this challenge head on. NARA's vision is to create a system that 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 into the future.

Description

NARA ERA will be a leader in innovation in electronic records archiving. In coordination with our Federal partners, we will develop policy and technical guidance to enable responsible electronic records creation and management. With help from our research partners, we will develop and maintain the technical capability to capture, preserve, describe, access and appropriately dispose any Government electronic record.

We will manage a coherent, nationwide, and sustainable system for permanent archival electronic records of the Federal Government. We will develop the capability to manage Federal agency electronic records within the NARA records center system.

We will ensure that anyone, at anytime, from any place, has access to the best tools to find and use the records we preserve.

Our staff will be capable and consistent users of the electronic tools at every point of the life cycle. We will sustain widespread support from all our stakeholders and customers by listening to their needs, meeting their requirements, and seeking their feedback.

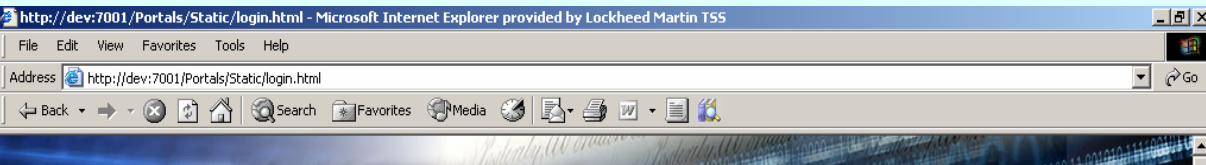
Background Information

More and more we communicate by computer. That means our records' records of critical importance to every one of us, such as email messages and word processing documents, are increasingly electronic.

Start | Inbox - Microsoft Outlook | Document1 - Microsoft W... | http://dev:7001/Port... | Local intranet | 4:26 PM



Log-in and Profile Screens



Electronic Records Archives
U.S. National Archives & Records Administration

Welcome to ERA June 8th, 2005

[ERA Home](#) [Search](#)

Member Login

User ID:
Password: [Forgot Pas](#)

For site security purposes and to ensure that this service remains available to all users, we have implemented software programs to monitor network traffic to identify unauthorized attempts to access the system. Anyone using this system expressly consents to such monitoring and is aware that any possible abuse or criminal activity, such evidence may be provided to appropriate authorities. The upload or change information on this server is strictly prohibited and may be prohibited under the Abuse Act of 1986 and the National Information Infrastructure Protection Act of 1996.

QUESTIONS

- [What can I do without login access?](#)
- [Why would I need login access?](#)
- [How do I request login access?](#)
- [I forgot my password](#)

What can I do without login access?

Government Links

- [The National Archives EXPERIENCE](#)
- [ourdocuments](#)
- [FIRSTGOV](#)
- [REGULATIONS.GOV](#)
- [No Fear Act](#)

ERA Workbench Desktop - Microsoft Internet Explorer provided by Lockheed Martin TSS

Address: http://dev:7001/Portals/gov/archives/era/workbench/workbench.portal?_nfpb=true&portlet_23_1_actionOverride=%2Fgov%2Farchives%2Fera%2Fcommon%2FLifeCycleManagement

Electronic Records Archives
U.S. National Archives & Records Administration

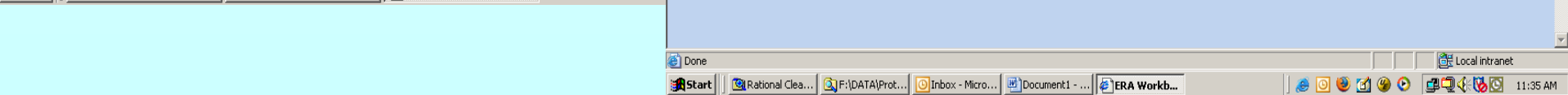
Welcome David Langbart Friday June 03 2005

[My ERA](#) [Manage Users](#) [Manage Agencies](#) [Manage Workgroups](#) [Manage Roles](#) [Reports](#)

List/Modify Users - User Profile

Yvonne Wilson

User name: Yvonne Wilson
Work address: Archives II, 8601 Adelphi Rd, Room 5320, College Park, MD 20740-6001
Work phone: (301)837-3143
Email address: Yvonne.Wilson@nara.gov
Position: NWML Supervisor / Appraiser Workgroup Lead
Comments:
Agency: [National Archives and Records Administration](#)
Workgroup: [WG2](#)
Roles: NARA/NWML/SUPERVISOR





My ERA: The Appraiser's Workbench

ERA Workbench Desktop - Microsoft Internet Explorer provided by Lockheed Martin TSS

Address: http://dev:7001/Portals/gov/archives/era/workbench/workbench.portal?_nfpb=true&_pageLabel=workbenchHomePage

Electronic Records Archives
U.S. National Archives & Records Administration

Welcome David Langbart Friday June 03 2005

My ERA Manage Users Manage Agencies Manage Workgroups Manage Roles Reports

My ERA

- Search Contacts
- Current Tasks
- Notifications
- Calendar
- NARA News

Manage Users

- Register New User
- List/Modify Users
 - List Users
 - Email Users
 - View/Modify User Profile
 - Assign Roles
- Deactivate Users
- Advanced Options

Manage Agencies

- Register an Agency
- List, Modify, or Delete Agencies
 - List Agencies
 - Add/Remove Users
 - Add/Remove Role Access
 - View/Modify Agency Profile
 - Delete Agency
- Advanced Options

Manage Workgroups

- Register a Workgroup
- List, Modify, or Delete Workgroups
 - List Workgroups
 - View/Modify Workgroups
 - Profile
 - Add/Remove NARA Users
 - Add/Remove Role Access
 - Delete Workgroups
- Advanced Options

Manage Roles

- Register a Role
- List, Modify, or Delete Roles
 - List Roles
 - View/Modify Role Profile
 - Modify Role Access Control
 - Delete Roles
- Advanced Options

Reports

- Consumer Profile Report
- Record Accessioning Progress
- Record Preservation Status
- Record Scheduling Metrics
- Redaction Metrics
- Status of Online Holdings

Report Actions

- List All Available Reports
- Create Custom Report

http://dev:7001/Portals/gov/archives/era/workbench/workbench.portal?_nfpb=true&portlet_24_1_actionOverride=/gov/archives/era/co

Local intranet

Start Rational Clea... F:\DATA\Prot... Inbox - Micro... Document1 - ... ERA Workb... 11:36 AM

Workbench screen for David Langbart



Agency Contact Information (for EPA)

ERA Workbench Desktop - Microsoft Internet Explorer provided by Lockheed Martin TSS

Address http://dev:7001/Portals/gov/archives/era/workbench/workbench.portal?_nfpb=true&portlet_24_1_actionOverride=%2Fgov%2Farchives%2Fera%2Fcommon%2FLifeCycleManagem Go

File Edit View Favorites Tools Help

Back Forward Stop Home Search Favorites Media Print

Description:

The mission of the Environmental Protection Agency is to protect human health and to safeguard the natural environment--air, water, and land-- upon which life depends.

The Environmental Protection Agency (EPA) was established in the executive branch as an independent agency pursuant to Reorganization Plan No. 3 of 1970 (5 U.S.C. app.), effective December 2, 1970. It was created to permit coordinated and effective governmental action on behalf of the environment. The Agency is designed to serve as the public's advocate for a livable environment.

Activities -
Office of Homeland Security EPA's homeland security responsibilities include Federal leadership for some activities and significant involvement for others. EPA serves as the lead Federal agency charged with protection of the Nation's water infrastructure from terrorist attack, cleanup of any biological or chemical attacks, and reduction of national chemical industry and hazardous materials sector critical infrastructure vulnerabilities. EPA also has significant responsibilities in certain radiological attacks.

Agency Information		Agency Administrator	
Primary Record Group:	412	Name:	Chris O'Donnell
Agency Hierarchy:	EPA/	Login ID:	codonnell
Effective Date:	5/3/1970 - Current	Email Address:	odonnell.chris@epa.gov
Created by:	directory manager	Phone:	(202)260-1324
Created on:	05/02/2005	Work Address:	1200 Pennsylvania Avenue NW Mail Code 2882 Washington, D.C. 20503
Last modified on:	05/29/2005		
Modified by:	directory manager		
Workgroup:	WG3		

Modify Profile... Add/Remove Users... Add/Remove Roles... Delete Close

Done Local intranet

Start Rational Clea... F:\DATA\Prot... Inbox - Micro... Document1 - ... ERA Workb... 11:38 AM



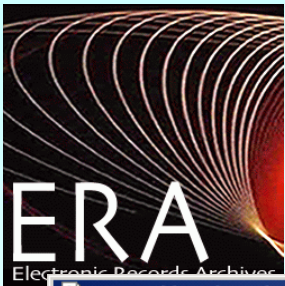
Creating a Transfer Request (Example: EPA)

The screenshot displays the Electronic Records Archives web application interface. At the top, the header includes the text "Electronic Records Archives" and "U.S. National Archives & Records Administration". Below this, a blue navigation bar contains the text "Welcome Susan Wright" and the date "Friday June 03 2005". A secondary navigation bar includes links for "My ERA", "Search", "Templates", "Schedules", and "Transfer and Disposal".

The main content area is titled "Transfer Request - Package Records" and is divided into two sections. On the left is a "Workflow" sidebar with the following steps: "Prepare" (indicated by an orange arrow), "Review", and "Approve". The main area contains a file selection interface. At the top, it shows "Look In: Local Disk (C:)" with navigation icons. Below this is a grid of files and folders, including "CapeClear", "Corel", "CTMAGENT", "Documents and Settings", "DRIVERS", "eclipse", "ERA_EPA-Transfer" (highlighted), "FOP", "insight", "mvfslogs", "New Folder", "OOo_1.1.1_Win32Intel_install", "OraHome", "Program Files", "qws3270", "SATRNER", "temp", "WINNT", "GDISK32.EXE", and "SETDOS.BAT".

Below the file list, there are input fields for "File Name:" (containing "ERA_EPA-Transfer") and "Files of Type:" (set to "All Files"). At the bottom of this section are two buttons: "Add Files" and "Submit".

At the bottom of the page, there is a section titled "Added Directories and Files:" with a text box containing the path "C:\ERA_EPA-Transfer".



Example of Interactions with NARA Stakeholders

ERA Workbench Desktop - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Electronic Records Archives
U.S. National Archives & Records Administration

Welcome Annie Smith Friday June 03 2005

My ERA Search Templates Schedules Transfer and Disposal

Workflow	Complete Review
Prepare → SHU Review Approve Monitor Agencies	<p>Requested On Fri Jun 03 10:16:19 EDT 2005</p> <p>Reply Requested By Sun Jul 31 00:00:00 EDT 2005</p> <p>Priority Medium</p> <p>Requester David Brown</p> <p>Request Description Please Review</p> <p>Comments</p> <div style="background-color: yellow; height: 80px; width: 100%;"></div> <p><input checked="" type="checkbox"/> Waive Informal Review <input type="checkbox"/> Receive Notice of Completed Job <input type="checkbox"/> Review Appraisal Report <input type="checkbox"/> Participate in Appraisal on these Items</p> <p><input type="text"/></p> <p style="text-align: right;"><input type="button" value="Review Complete"/> <input type="button" value="Cancel"/></p>

Done Local intranet



Example of how NARA will be able to collaborate with the Agency to Approve a Schedule

Electronic Records Archives
U.S. National Archives & Records Administration

Welcome Susan Wright Friday June 03 2005

My ERA Search Templates Schedules Transfer and Disposal

Workflow	Submit For Review	
Prepare	Requested On	06/03/2005
Review	Reviewers	Susan Wright
Approve	Reply Requested By	07/31/2005 [Clear]
	Priority	Medium

Submit Cancel

Electronic Records Archives
U.S. National Archives & Records Administration

Welcome Susan Wright Friday June 03 2005

My ERA Search Templates Schedules Transfer and Disposal

Workflow	Reviewer Response	
Prepare	Requested On	Fri Jun 03 09:12:18 EDT 2005
Review	Reply Requested By	Mon Jun 13 09:12:18 EDT 2005
Approve	Priority	Medium
	Requestor	swright
	Comments	Enter Comments
		This is the review at the Agency of the proposed transfer

Review Complete Go To List

Electronic Records Archives
U.S. National Archives & Records Administration

Welcome Susan Wright Friday June 03 2005

My ERA Search Templates Schedules Transfer and Disposal

Workflow	Request Approval	
Prepare	Requested On	Fri Jun 03 09:00:34 EDT 2005
Review	Reply Requested By	Sat Jun 03 09:00:34 EDT 2006
Approve	Priority	2
	Request Description	
	All Reviewers Have Responded	
	swright	This is the review at the Agency of the proposed transfer

Send To Approver Cancel



Example of a Federal Register Notice

ERA Workbench Desktop - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Prepare
SHU
→ **Review**
Approve
Monitor Agencies

Outline

- Submission Home ←
 - GRS
 - grs01
 - itemA
 - Removal Records - Superfund Site-Specific

Federal Register Transmittal Notice Show All

Federal Register Notice

Title	National Archives and Records Administration (NARA).
Action	Records Schedules; Availability and Request for Comments
Summary	Notice of availability of proposed records schedules; request for comments.
Dates	The National Archives and Records Administration (NARA) publishes notice at least once monthly of certain Federal agency requests for records disposition authority (records schedules). Once approved by NARA, records schedules provide mandatory instructions on what happens to records when no longer needed for current Government business. They authorize the preservation of records of continuing value in the National Archives of the United States and the destruction, after a specified period, of records lacking administrative, legal, research, or other value. Notice is published for records schedules in which agencies propose to destroy records not previously authorized for disposal or reduce the retention period of records already authorized for disposal. NARA invites public comments on such records schedules, as required by 44 U.S.C. 3303a(a).
Addresses	Requests for copies must be received in writing on or before January 3, 2005. Once the appraisal of the records is completed, NARA will send a copy of the schedule. NARA staff usually prepare appraisal memorandums that contain additional information concerning the records covered by a proposed schedule. These, too, may be requested and will be provided once the appraisal is completed. Requesters will be given 30 days to submit comments.
	You may request a copy of any records schedule identified in this notice by contacting the Life Cycle Management Division (NWML) using one of the following means. Requesters

Done Local intranet



Example of Conducting Searches

NARA : Search - Microsoft Internet Explorer provided by Lockheed Martin T55

File Edit View Favorites Tools Help

Address <http://dev:7001/Portals/gov/archives/era/common/search/SearchGeneral.html> Go

Back Forward Stop Home Search Favorites Media Refresh Print W Document Properties

Electronic Records Archives

U.S. National Archives & Records Administration

Welcome to ERA June 8th, 2005 [ERA Home](#) [Search](#) [Contacts](#) [Forum](#) [Help](#) [Login](#)

Need Help?

- [Help](#)
- [FAQs](#)
- [Glossary](#)
- [Mediated Search](#)

NARA

- [Support the National Archives](#)
- [Help Us Recover Documents](#)
- [NARA Facilities](#)
- [Order Forms & Questions](#)
- [Presidential Libraries](#)

Search

Content Description [Search Tips](#)

[Advanced Search](#)

Browse Asset Catalog

Time Frames

1800-1899	1900-1939	1940-1954	1955-1964	1965-1974	1975-1984	1985-1994	1995-present
---------------------------	---------------------------	---------------------------	---------------------------	---------------------------	---------------------------	---------------------------	------------------------------

What's New?

{content aimed at general public}

Most Popular Searches

{content aimed at general public}

Featured Items

{content aimed at general public}

Resources for:

- [Genealogists](#)
- [General Public](#)
- [Researchers](#)
- [Students](#)
- [Teachers](#)

Categories

- [Agency](#)
- [Geography](#)
- [Homeland Security](#)
- [Names](#)

FOIA Privacy & Use Accessibility FAQ's Contact Us Home U.S. National Archives & Records Administration 8601 Adelphi Road, College Park, MD 20740-6001 • 1-86-NARA-NARA • 1-866-272-6272

Done Local intranet

Start | Inbox - Microsoft Outlook | Document1 - Microsoft W... | NARA : Search - Micros... | 4:26 PM



Some Additional Resources

- **The ERA Web site and introductory Video:**
www.archives.gov/era
- ***“The ERA: Technology to Aid Archivists and Historians,”* Prologue (NARA’s Quarterly magazine, Winter 2005 issue), available online:**
<http://www.archives.gov/publications/prologue/2005/winter/era.html>
- **ERA System Design Information:**
<http://www.archives.gov/era/acquisition/>



Record Management Services (RMS)



- What are they?
- What are the objectives of NARA's RMS Program?



RM Services



What Are they?

Software-based services that support the creation, management, transfer, and destruction of electronic records within a computing environment



RM Services



- **Front end** of the business process
- **FEA and ERA** compatible
- Works with **front-end RMAs** at agencies
- **Captures context of creation and relationship to other records** at the point of creation
- **Information about the record** is carried forward **through the lifecycle**
- **Establishes an baseline** against which authenticity can be validated over time



RM Services



Address core records management functions across the lifecycle

- **Record Capture**
- **Provenance**
- **Category**
- **Authenticity**
- **Case File**
- **Disposition**
- **Reference**



RM Services



Benefits:

- Allows the management of records to begin much earlier in the business process
- Built into agency's enterprise architecture
- From user's perspective, RMS are minimally intrusive, and often transparent
- Provide a "hook" to downstream management tools such as ERA

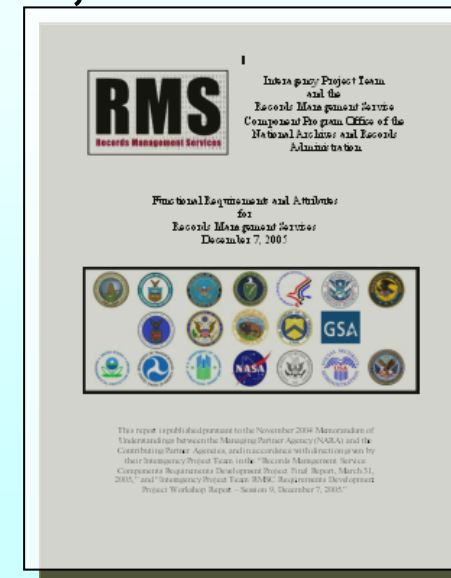


RM Services



Records Management Services in 2005

- 18 largest Federal agencies and NARA
- Agreed on functional requirements, attributes, and models for RMS
- Issued report Dec. 7, 2005
- <http://www.archives.gov/era/rms>





RM Services



NARA's RMS Program Objectives

To facilitate the acquisition of RMS that can be used to provide interoperable RM functionality in any agency system that creates/manages electronic records by:

- Identifying, documenting, normalizing, and socializing those core RM stakeholder requirements that services can support
- Aligning with the OMB's FEA reference models, profiles, and component registry program (CORE.gov)
- Leveraging industry interest in the RMS business case



Your ERA Contact

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