



NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

ELECTRONIC RECORDS MANAGEMENT RESOURCE GUIDE



The Electronic Records Management (ERM) resources described in this brochure will provide your Federal agency with the information needed to prepare for and implement electronic recordkeeping. Here you will find descriptions and links to National Archives and Records Administration (NARA) information on the E-Government Electronic Records Management initiative, the Fast Track initiative, expanded electronic records transfer requirements, electronic recordkeeping and records management (RM) training, and records management reference tools to assist agencies in managing their electronic and vital records.

The ERM resources are arranged in the following broad categories to facilitate access and use:

AUTOMATING RM

BUILDING SUPPORT FOR ERM

TECHNOLOGY-SPECIFIC GUIDANCE

TRANSFER REQUIREMENTS FOR PERMANENT RECORDS

TRAINING—RECORDS MANAGEMENT

VITAL RECORDS

AUTOMATING RM

When records management processes or procedures are conducted electronically, or through computer activity, they are considered automated and can be applied to paper or electronic records. The tools cited below are focused specifically on *automated* processes and procedures used in the management of only those records maintained in *electronic* form, which is also referred to as electronic recordkeeping (ERK).

Records Management Profile

A tool for use in conjunction with the Federal Enterprise Architecture Framework that provides agency decision-makers with a framework for incorporating statutory records management requirements and sound records management principles seamlessly into agency work processes, enterprise architectures, and information systems.

www.archives.gov/records-mgmt/policy/rm-profile.html

Examples of System Functions for Electronic Recordkeeping (ERK) and Electronic Records Management (ERM)

Gives examples of detailed system functions that an ERK or ERM system might need to perform in order to satisfy basic records management functions.

www.archives.gov/records-mgmt/policy/prod6b.html

Survey of Baseline Organizational Information

Provides a survey questionnaire for gathering baseline organizational information for developing records management system requirements or evaluating ERM and ERK solutions.

www.archives.gov/records-mgmt/policy/prod7.html

Preliminary Planning for Electronic Recordkeeping: Checklist for IT Staff

Lists questions for IT staff to address before implementing an electronic recordkeeping system, and provides related guidance.

www.archives.gov/records-mgmt/policy/prod3rev.html

Preliminary Planning for Electronic Recordkeeping: Checklist for RM Staff

Identifies high-level issues that records officers need to consider before initiating any discussion about moving towards electronic recordkeeping.

www.archives.gov/records-mgmt/policy/prod4rev.html

Electronic Records Management Guidance on Methodology for Determining Agency-unique Requirements

Provides a step-by-step approach to identifying and defining agency-specific system requirements as building blocks for agency ERM systems.

www.archives.gov/records-mgmt/policy/requirements-guidance.html

Electronic Information Management Standards – DoD 5015.2

Endorses the Federal-wide adoption of the DoD 5015.2-STD.

www.archives.gov/records-mgmt/bulletins/2003/2003-03.html

Analysis of Costs and Benefits for ERM/ERK Projects

Provides a guide to identify some typical cost categories and possible benefits of an existing RM system, or of the alternative ERM/ERK solutions.

www.archives.gov/records-mgmt/policy/prod8.html

Recommended Practice: Evaluating Commercial Off-the-Shelf (COTS) Electronic Records Management (ERM) Applications

Summarizes the Environmental Protection Agency's (EPA) experience identifying the COTS products that would best meet the needs of agency staff for both Electronic Document Management (EDM) and Electronic Records Management.

www.archives.gov/records-mgmt/policy/cots-eval-guidance.html

Guidance for Coordinating the Evaluation of Capital Planning and Investment Control (CPIC) Proposals for ERM Applications

Provides a set of decision points to help determine if office-specific ERM systems should be funded independently or integrated with an agency's enterprise-wide ERM system.

www.archives.gov/records-mgmt/policy/cpic-guidance.html

Recommended Practice: Developing and Implementing an Enterprise-wide Electronic Records Management (ERM) Proof of Concept Pilot

Presents practical steps in the development of proof of concept pilots for ERM.

www.archives.gov/records-mgmt/policy/pilot-guidance.html

Guidance for Building an Effective Enterprise-wide Electronic Records Management (ERM) Governance Structure

Defines governance and its importance to the success of IT, the purpose and function of that governance, how project-specific governance (such as those instituted for enterprise-wide ERM) fits within and alongside other established governance structures, and the risks attendant in the absence of good governance.

www.archives.gov/records-mgmt/policy/governance-guidance.html

BUILDING SUPPORT FOR ERM

The ability of every Federal agency to fulfill its mission requires knowledgeable employees with access to the organization's information. In addition, quality decision making in the Federal Government depends on access to the information retained in its documents and records. With proper controls for organizing, managing, and providing access to records, agencies will realize the benefits of efficient business processes, knowledge sharing, collaborative working, and seamless access to information. The tools cited below identify critical success factors for implementing electronic records management, and provide assistance for developing support.

Context for Electronic Records Management

Specifies the records management and IT terminology associated with Electronic Recordkeeping (ERK).

www.archives.gov/records-mgmt/initiatives/context-for-erm.html

What is Electronic Recordkeeping (ERK)

Presents high-level discussions of what electronic recordkeeping is in terms of architectures, objectives, and critical success factors.

www.archives.gov/records-mgmt/policy/prod1b.html

Why Federal Agencies Need to Move Toward Electronic Recordkeeping

Summarizes the statutory, legal, and regulatory requirements plus internal reasons to move towards electronic recordkeeping.

www.archives.gov/records-mgmt/policy/prod1afn.html

Typical Records Management Functions and Typical RM Program Activities

Provides an overview of basic concepts about typical records management functions and overall records management program functions.

www.archives.gov/records-mgmt/policy/prod6a.html

User Guide to Slide Presentation: Electronic Recordkeeping

A user's guide for Fast Track PowerPoint Briefings.

www.archives.gov/records-mgmt/policy/guide.html

Long Version of Customizable Electronic Recordkeeping PowerPoint Presentation

Provides the longer version of a presentation that can be used in raising awareness about electronic recordkeeping as part of planning for such systems.

www.archives.gov/records-mgmt/policy/prod5a.html

Short Version of Customizable Electronic Recordkeeping PowerPoint Presentation

Provides a presentation that can be used in raising awareness about electronic recordkeeping as part of planning for such systems.

www.archives.gov/records-mgmt/policy/prod5b.html

TECHNOLOGY-SPECIFIC GUIDANCE

NARA has produced several technology-specific guidance documents to address unique areas of electronic records management.

NARA Guidance on Managing Web Records

Assists agency staff in properly managing web records.

www.archives.gov/records-mgmt/policy/managing-web-records-index.html

Records Management Guidance For PKI-Unique Administrative Records

Provides detailed guidance on retaining and managing PKI-unique administrative records.

www.archives.gov/records-mgmt/policy/pki-guidance.html

Records Management Guidance for Agencies Implementing Electronic Signature

Discusses the records management principles that apply to electronic signature technology generally.

www.archives.gov/records-mgmt/policy/electronic-signature-technology.html

Records Management Guidance for PKI Digital Signature Authenticated and Secured Transaction Records

Provides records management guidance to Federal agencies for PKI digital signature authenticated and secured electronic transaction records.

www.archives.gov/records-mgmt/policy/pki.html

TRANSFER REQUIREMENTS FOR PERMANENT RECORDS

As part of the NARA e-Gov initiative, and in cooperation with other Federal agencies, NARA issued guidance intended to supplement existing requirements in 36 CFR 1228.270 for transferring electronic records to NARA. This guidance expands currently acceptable formats to allow the transfer of electronic records to NARA.

Expanding Acceptable Transfer Requirements: Transfer Instructions for Existing E-mail Messages with Attachments

Specifies requirements for transferring existing permanent e-mail messages and their attachments to NARA.

www.archives.gov/records-mgmt/initiatives/email-attachments.html

Expanding Acceptable Transfer Requirements: Transfer Instructions for Existing Permanent Electronic Records Scanned Images of Textual Records

Specifies requirements for transferring existing permanent scanned images to NARA.

www.archives.gov/records-mgmt/initiatives/scanned-textual.html

Expanding Acceptable Transfer Requirements: Transfer Instructions for Permanent Digital Photographic Records

Specifies requirements for transferring permanent digital photographic records to NARA.

www.archives.gov/records-mgmt/initiatives/digital-photo-records.html

Expanding Acceptable Transfer Requirements: Transfer Instructions for Permanent Records In Portable Document Format (PDF)

Specifies requirements for transferring permanent PDF records to NARA.

www.archives.gov/records-mgmt/initiatives/pdf-records.html

Expanding Acceptable Transfer Requirements: Transfer Instructions for Permanent Digital Geospatial Data Records

Specifies requirements for transferring permanent digital geospatial data records to NARA.

www.archives.gov/records-mgmt/initiatives/digital-geospatial-data-records.html

Expanding Acceptable Transfer Requirements: Transfer Instructions for Permanent Web Content Records

Specifies requirements for transferring permanent web content records to NARA.

www.archives.gov/records-mgmt/initiatives/web-content-records.html

TRAINING—RECORDS MANAGEMENT

NARA has developed updated records management courses designed to address the changing Federal recordkeeping environment. NARA also offers an optional certification program for individuals who successfully complete training in Federal records management. In addition, NARA can provide PowerPoint presentations that can be used by the agency to raise awareness about records management in general and electronic recordkeeping in particular.

Nationwide Records Management Training

Describes NARA records management training available nationwide.

www.archives.gov/records-mgmt/training/training.html

Electronic Recordkeeping User's Guide and Briefing Presentations

See Section on Building Support for ERM—Presentations

VITAL RECORDS

A vital records program provides an agency with the information it needs to conduct its business in the event of a disaster, emergency, or other interruption, and to resume normal business afterward. The tool below provides information on how to develop a program to support these activities.

Vital Records and Records Disaster Mitigation and Recovery

Addresses the identification and protection of records needed to conduct business under emergency operating conditions or to protect legal and financial rights.

www.archives.gov/records-mgmt/vital-records/recovery.html

For additional information on ERM tools, please go to

www.archives.gov/records-mgmt/policy/

www.archives.gov/records-mgmt/initiatives/erm-overview.html