



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Building the Archives of the Future

The Electronic Records Archives (ERA) Program Status

The National Center for State Courts (NCSC)
Las Vegas, Nevada
December 2008

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National Archives and Records Administration

1/22/2009

National Archives and Records
Administration

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Overview

- **What is ERA?**
- **The ERA System Development Timeline:**
 - **2004-2006: NARA Business Process Analysis Teams:**
 - Business Process Re-engineering (BPR)
 - Federal Records ERA Integration Team (FREIT)
 - Business Process Integrated Product Team (BP IPT)
 - **Increment 1 (2005-2007) Developing the ERA base system**
 - **September 2007:** ERA pilot system in three deliveries
 - **Jan-May 2008:** Testing activities for each pilot and final delivery of software
 - **6/27/2008: Initial Operating Capability (IOC)**
Delivery and Acceptance of the ERA base system
 - **July-Aug/08:** Training the first people to use the system
- **Where are we now?**
 - **Increment 2: Developing the ERA Search & Access System (SAS)**
 - **Dec 5, 2008: SAS IOC**



What is ERA?

The Electronic Records Archives (ERA) is NARA's strategic initiative **to preserve and provide long-term access** to uniquely valuable electronic records of the U.S. Government,

and to position government-wide **management of the lifecycle of all records** into the framework of e-government.

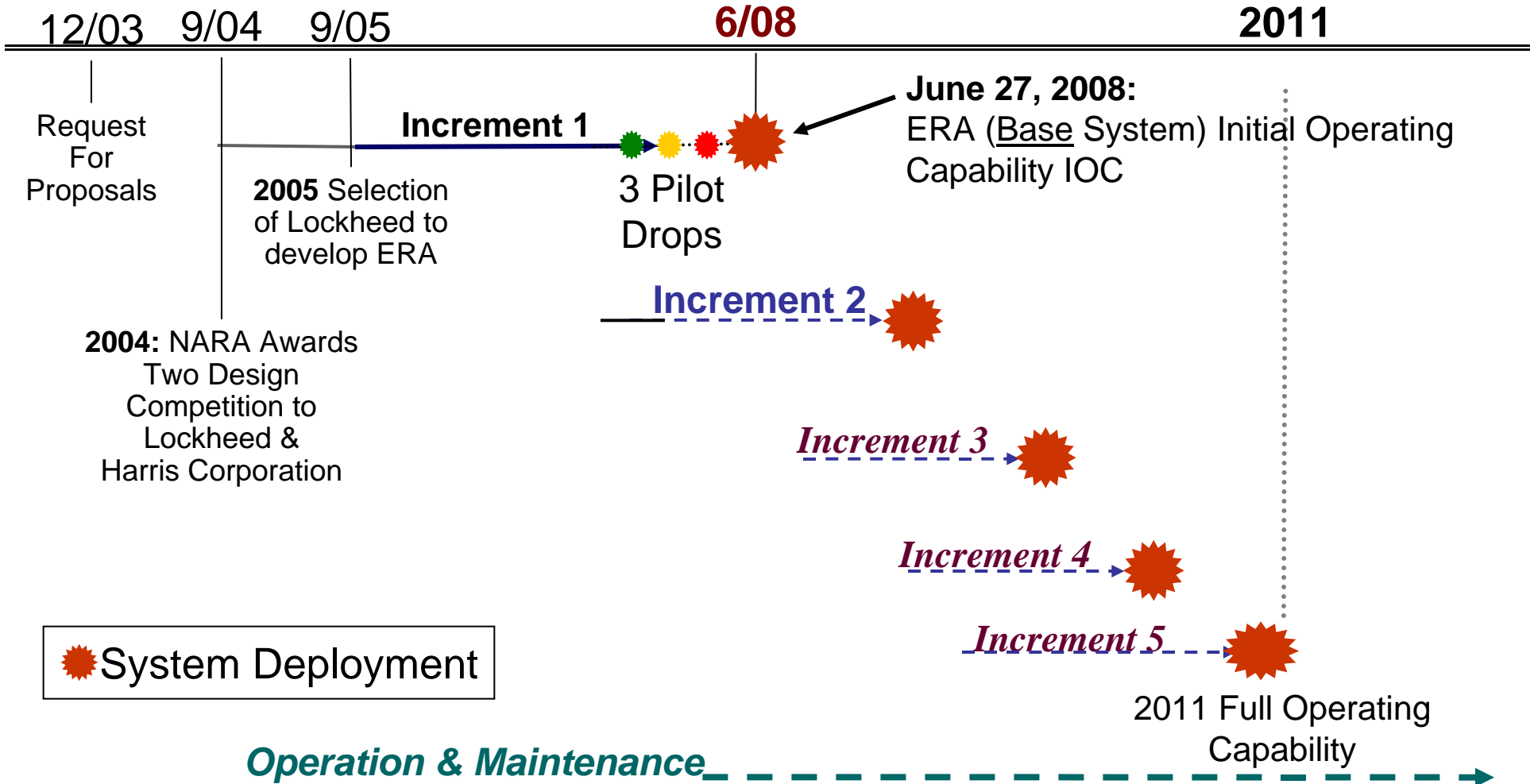


ERA Return on Investment

- Improve Life Cycle Management of both physical and electronic records
- Improve public access to records and information about them
- Protect public assets against loss
- Ensure sustained access to authentic electronic records
- Address heterogeneous access, privacy, confidentiality, and security issues
- Promote collaboration and communication regarding Federal programs and initiatives
- Facilitate records management in agencies



Acquiring and building the ERA Base System (2003-June 2008)





NARA's Business Process Re-Engineering (BPR) Group

- **2004-05** - Cross office teams determined “*as is*” and ‘*to be*’ workflows for NARA business activities
- **NARA's high level business activities:**
 - Scheduling and Appraisal
 - Donated Materials
 - Lifecycle Data Elements
 - Disposition Actions
 - Transfer Records to NARA
 - FRC Storage
 - FRC Storage
 - Destruction of Records
 - Processing Holdings for Access
 - Reference
 - FOIA and Special Requests
 - Appeals



Testing Activities

- **2006** - Product Testing with SMEs, and Security Testing by NARA & Lockheed Engineers prior to End User testing
- **2007-08** - Operational testing by End Users:
 - Those familiar with NARA business
 - Those who had never seen the system

NARA recorded user feedback after each testing activity, and followed up with engineers to make fixes



Testing Activities

For each pilot and final delivery of software

- **Unit and Integration Testing** by Lockheed Engineers
- **Product Testing and Security Testing** by NARA engineers to determine if the system is stable, secure and satisfies requirements
- **Business Operational Testing** by end users to determine if the system can be used in the conduct of government business:
 - Those familiar with NARA business
 - Those who had never seen the system
- **System Operational Testing** by NARA engineers to evaluate the contractor's ability to operate and maintain the system.
- **Detailed recording and tracking** of the resolution of all problems found in testing.



What does ERA do in its first official release?

- Manage the lifecycle of ALL records
- Create, modify and submit a *Records Schedule* (formerly SF-115)
- Create, modify and submit a *Transfer Request and Transfer Plan* (formerly SF-135)
- Create, modify and submit a *Legal Transfer Instrument* (formerly SF-258)

- Search for existing business objects (and in some cases, use them to generate new ones)
- Securely package electronic records for transfer either online or via digital media
- Ingest, open, and verify electronic records that were transferred to NARA



Records Management

- **Create, submit, review and approve:**
 - Records Schedule
 - Transfer Plan
 - Transfer Request
 - Legal Transfer Instrument
- **Link to Records Schedule Item**
 - Transfer Plan
 - Transfer Request
 - Legal Transfer Instrument
- **Enforce Policies**



Some Screenshots: The ERA Log-On Screen



*Username:

*Password:

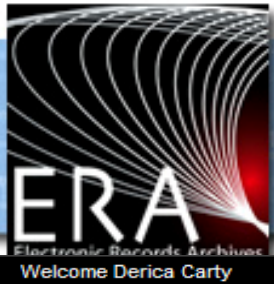
Submit

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The U.S. National Archives and Records Administration
8601 Adelphi Road, College Park, MD 20740-8001
Telephone: 1-86-NARA-NARA or 1-866-272-6272



The ERA Records Schedule *Workbench*

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ERA Workbench

Notifications		
Title	Created Date	Created By
Records Schedule DAL-0029-2008-0001 certified.	06/18/2008	ERA System
Records Schedule DAL-0029-2008-0001 certified.	06/18/2008	ERA System
Records Schedule DAL-0029-2008-0001 certified.	06/18/2008	ERA System
Records Schedule DAL-0029-2008-0001 approved.	06/18/2008	ERA System
Records Schedule DAL-0029-2008-0001 approved.	06/18/2008	ERA System
Records Schedule DAL-0029-2008-0001 approved.	06/18/2008	ERA System
Records Schedule DAL-0029-2008-0002 certified.	06/18/2008	ERA System
Records Schedule DAL-0029-2008-0002 certified.	06/18/2008	ERA System
Records Schedule DAL-0029-2008-0002 approved.	06/18/2008	ERA System
Records Schedule DAL-0059-2008-0001 certified.	06/18/2008	ERA System
Records Schedule DAL-0059-2008-0001 certified.	06/18/2008	ERA System

Inbox					
ID #	Type	Agency	Created By	Status	Due Date
TR-0029-2008-0008	TR	Bureau of the Census	Karuna.Sodhi	Draft	06/26/2008
TR-0241-2008-0004	TR	Patent and Trademark Office	Karuna.Sodhi	Draft	06/26/2008
TR-0241-2008-0005	TR	Patent and Trademark Office	Derica.Carty	Draft	06/26/2008
TR-0241-2008-0006	TR	Patent and Trademark Office	Derica.Carty	Proposed	07/01/2008
TR-0241-2008-0007	TR	Patent and Trademark Office	Derica.Carty	Draft	06/27/2008
TR-0029-2008-0001	TR	Bureau of the Census	kenneth.kang	Approved	07/18/2008
TR-0241-2008-0002	TR	Patent and Trademark Office	kenneth.kang	Approved	07/18/2008
TR-0059-2008-0003	TR	Department of State	kenneth.kang	Approved	07/18/2008
TR-0029-2008-0002	TR	Bureau of the Census	kenneth.kang	Approved	07/18/2008
DAI-0059-2008-0003	RS	Department of State	Jerome.Nashorn	Proposed	06/21/2008
TR-0059-2008-0001	TR	Department of State	kenneth.kang	Approved	07/18/2008
TR-0241-2008-0001	TR	Patent and Trademark Office	kenneth.kang	Approved	07/18/2008

Help
Help - Main
FAQ
Glossary



The Federal Records Scheduling Process: *Using a Standard Form (SF-115)*

Request for Records Disposition Authority <small>(See Instructions on reverse)</small>		Leave Blank (NARA Use Only)	
To: National Archives and Records Administration (NIR) Washington, DC 20408		Job Number	
1. From: (Agency or establishment)		Date Received	
2. Major Subdivision		Notification to Agency In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. Minor Subdivision			
4. Name of Person with whom to confer	5. Telephone (include area code)	Date	Archivist of the United States
6. Agency Certification I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies: <input type="checkbox"/> is not required <input type="checkbox"/> is attached <input type="checkbox"/> has been requested			
Signature of Agency Representative		Title	
		Date (mm/dd/yyyy)	
7. Item Number	8. Description of Item and Proposed Disposition	9. GRS or Superseded Job Citation	10. Action taken (NARA Use Only)

115-109 NSN 7540-00-634-4064 Previous Edition Not Usable Page ____ of ____ Standard Form 115 (Rev. 3/91) Prescribed by NARA 36 CFR 1228

The manual (paper) form used to capture information about the records



Using ERA to schedule records online: *The electronic form: the e-115*

Records Schedule

* Required fields

General Info

General

*Records Schedule ID:	<input type="text"/>	*Internal agency concurrences will be provided:	<input type="text"/>	
Schedule Subject:	<input type="text"/>	*Record Group:	<input type="text"/>	
*Agency or Establishment:	<input type="text"/>	Records Schedule applies to:		
*Legacy Data:	<input type="text"/>	<input checked="" type="radio"/> Major Subdivision	<input type="radio"/> Agency-wide	<input type="radio"/> General Records
Default Schedule:	<input type="checkbox"/>	Schedule		
Status:	<input type="text"/>	*Major Subdivision:	<input type="text"/>	
		Minor Subdivision:	<input type="text"/>	

Background

Background Information:

GAO Concurrence

Not Required Requested Received

Items:

Records Scheduler

*First Name	*Last Name	*Title
<input type="text" value="EndUser1"/>	<input type="text" value="Rsn"/>	<input type="text"/>

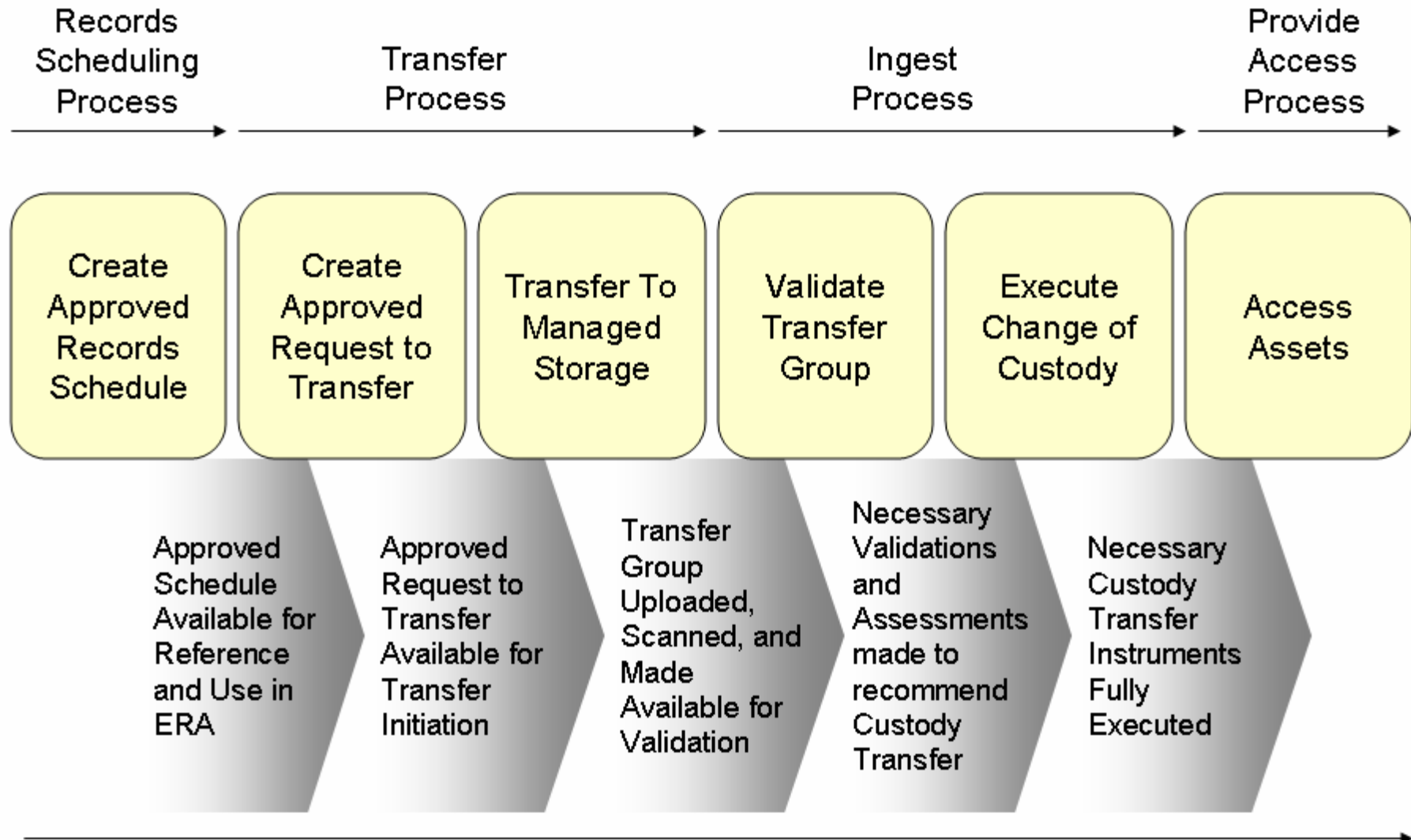
Functions Contact Persons

<input checked="" type="checkbox"/>	First Name	*Last Name	Title	*Phone	Email
<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Save Cancel

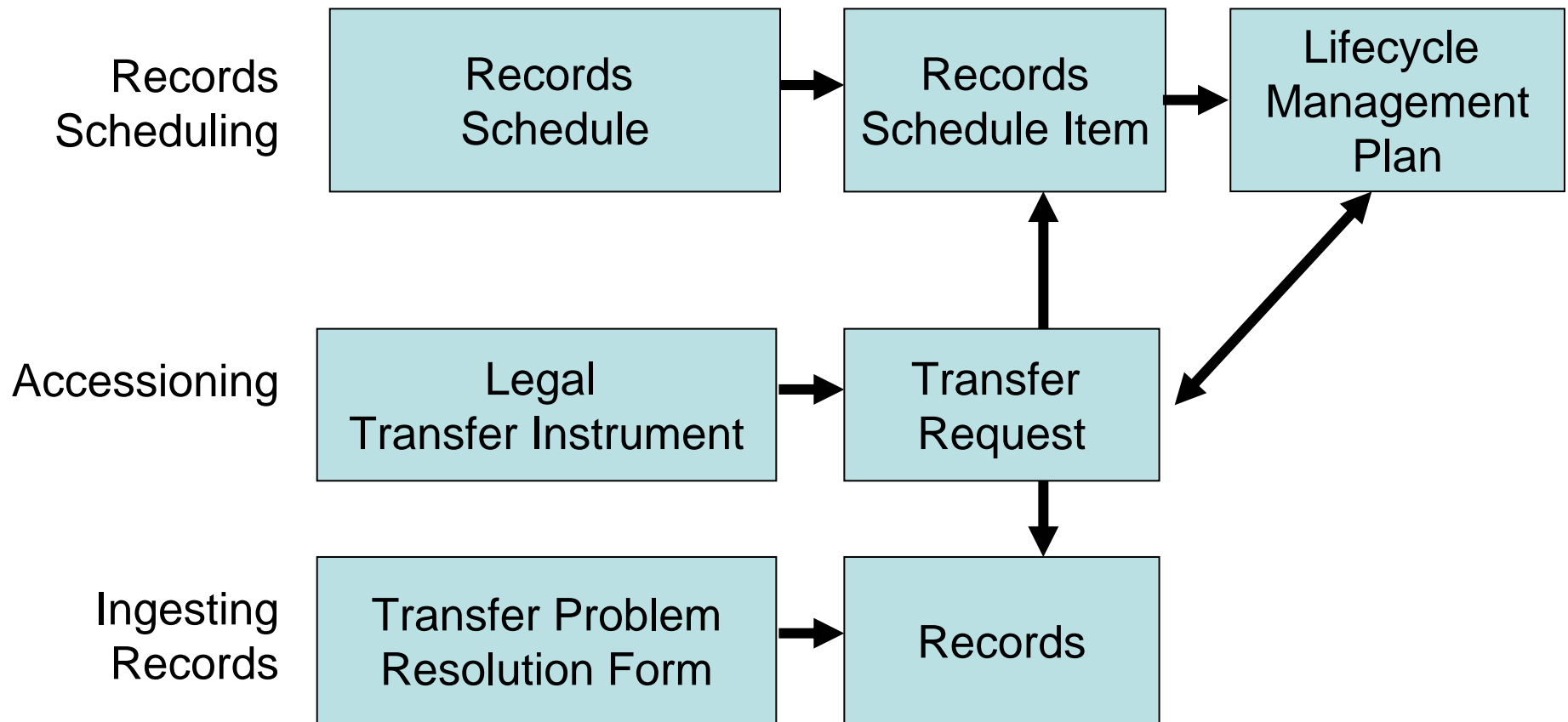


ERA Functional Flow



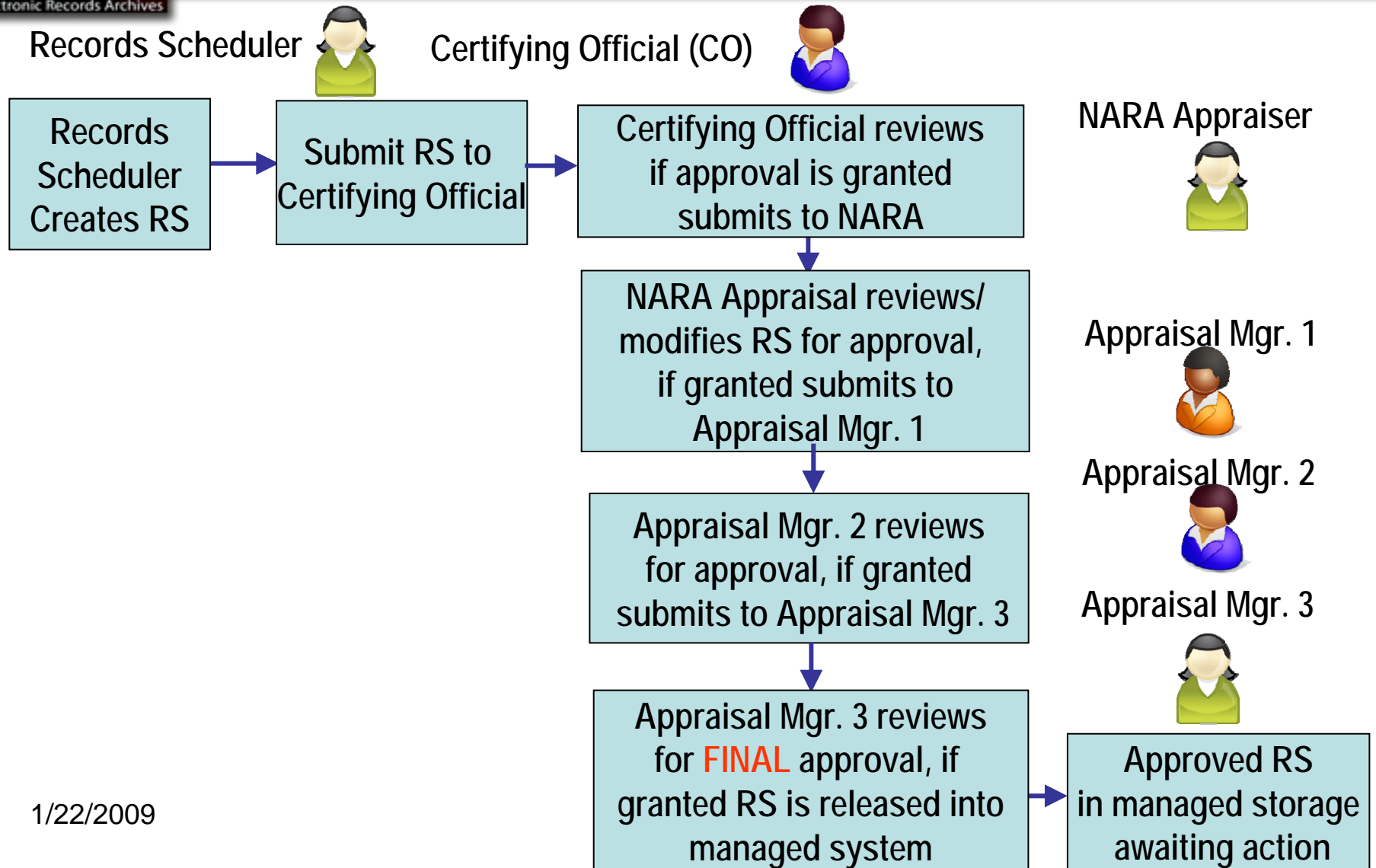


ERA Workflow Model





Creating and Approving a Records Schedule (RS) in ERA





The people who are using ERA to conduct NARA business

- **NARA Staff**
 - Lifecycle Management Division
 - Electronic Records and Special Media Division
 - Textual Archives Services Division
 - Special Media Archives Services Division
- **The four ERA Pilot Agencies**
 - The Department of Commerce's U.S. Patent and Trademark Office (USPTO)
 - The Department of the Navy's National Oceanographic Office (NAVO)
 - The Department of Energy's National Nuclear Security Administration (NNSA/Kansas City Plant)
 - The Department of Labor's Bureau of Labor Statistics (BLS)



When will other agencies use ERA?

Depends on future expansion of ERA system capabilities and its ease of use to conduct NARA business

- **Initial Implementation (June 2008 - June 2009)**
 - The four ERA pilot agencies (USPTO, BLS, NAVO, NNSA/KCP)
 - NARA staff proxy for other agencies
- **Invitational Phase (June 2009 - February 2010)**
 - Additional agencies by invitation
- **Voluntary Phase (February 2010 - December 2010)**
 - Additional agencies who volunteer and meet criteria
- **Mandatory Phase (January 2011)**
 - All Agencies



The first four ERA Pilot Agencies

UNITED STATES PATENT AND TRADEMARK OFFICE





The Search & Access ERA System

Focus:

- Presidential Electronic Records
- George W. Bush Presidential Library

Functions:

- Rapid ingest of very large volumes of electronic records
- Automatic indexing on ingest
- Immediate searchability, based on index
- Creation of different versions to support structured search of priority records
- Basic case management for review and redaction of sensitive content.



What's in Store for the Future?

- **Preservation Framework ***
 - Introduction and use of a variety of tools for different preservation needs
- **Public access ***
 - Information about all types of records
 - Online access to electronic records
 - Search Framework supporting different tools
- **Governmentwide expansion**
- **Full Lifecycle Management Plans Appraisal case management and workflow**
- **FOIA and other access case management**
- **Review and redaction of sensitive content**

1/22/2009

* In FY 2009 Budget Request ²²

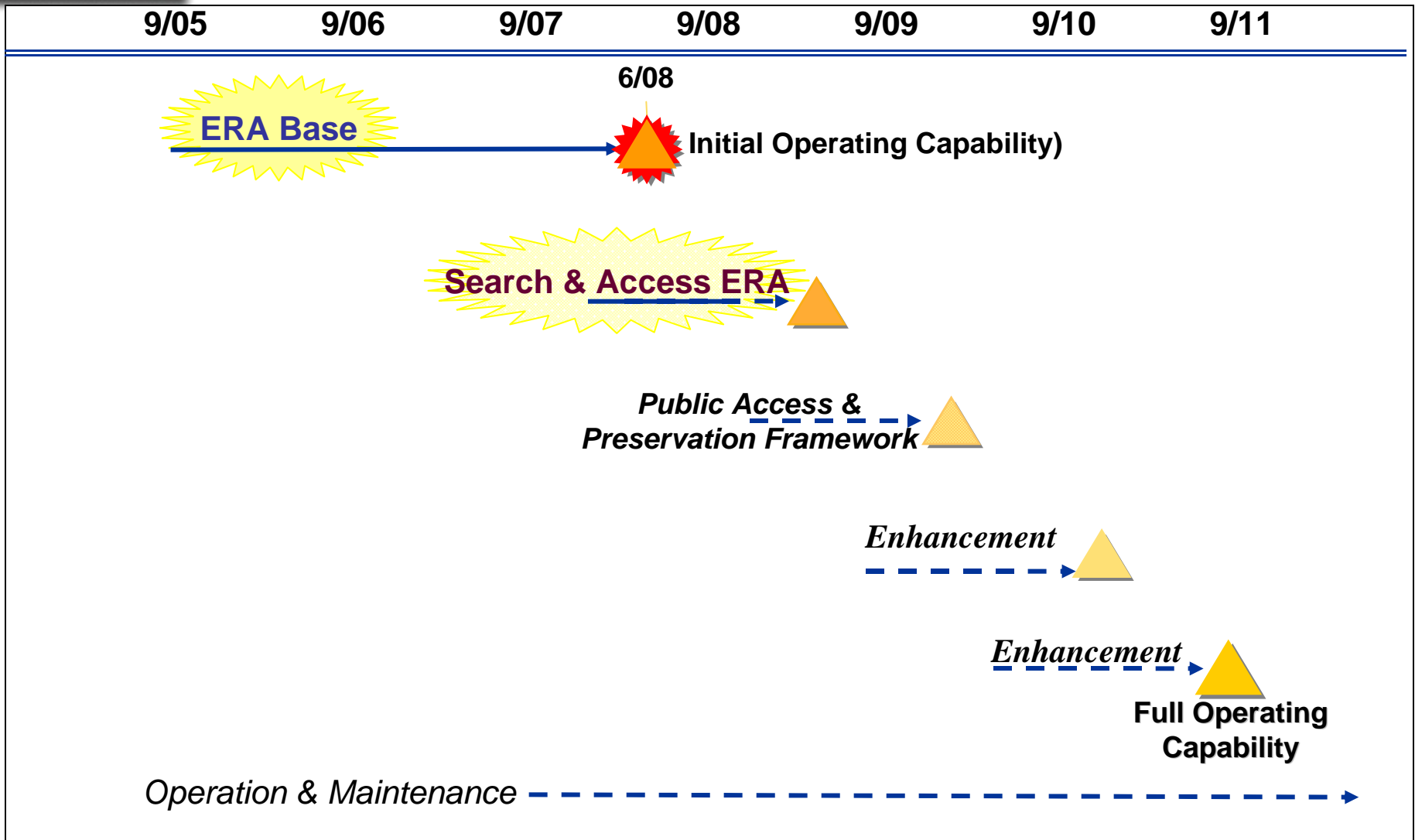


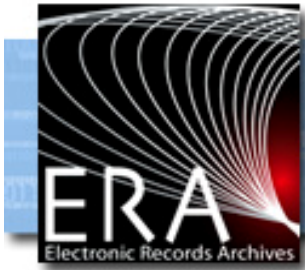
Public Access in ERA

- **Information about all records**
 - From Records Schedules
 - Archival Descriptions
 - Other NARA information
- **Online access to electronic records**
- **Online access to scanned versions of hard copy records**
- **Requests for copies of records**
- **Freedom of Information Act requests for restricted records**
- **Assistance from NARA staff**



The Development Timeline





For more information about ERA

ERA Program Management Office
301-837-0740

The ERA Web site:
<http://www.archives.gov/era>