

PKI & Electronic Records Management [ERM]

***PKI in Today's Government - It's a
Matter of Trust***

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Records Basics

- The move to e-Gov will change work processes
- The move to e-Gov will create new records
- GPEA-generated record material (paper or electronic) must have a NARA-approved disposition authority
- Post-GPEA agency records schedules must reflect these changes

How Does GPEA Affect Records Management [RM]?

- Many GPEA records will be electronic and it will be more cost-effective to manage them electronically
- GPEA records may have embedded digital signatures -- electronic records management [ERM] will enable you to maintain the trustworthiness those signatures over time
- GPEA transactions will be audited -- ERM will support that function

What Types of PKI Records Are We (potentially) Talking About?

- **Context**
 - Documentation of individual identities
 - Trust verification records (audit trails)
 - Certificates
 - Certificate revocation lists [CRLs]
 - Trust paths
 - Certificate policies
 - Certificate practice statements

What Types of PKI Records Are We (potentially) Talking About?

- **Structure**
 - Hashing algorithms
 - Encryption algorithms

Which of These PKI Records You Manage is Determined by Your...

- **Risk assessment**
- **Approach to e-signature authentication**
 - **Maintaining adequate documentation at/near time of digital signing**
 - **Maintaining ability to re-validate digital signature**
 - **Creating audit trail entry of digital signature acceptability**

What Do I Need to Do?

- **Review the NARA GPEA guidance**
 - *<http://www.nara.gov/records/policy/gpea.html>*
- **Determine agency approach(es) to maintaining e-signature trustworthiness**
- **Use your GPEA risk assessment to advise RM decisions**
- **Develop an ERM action plan - i.e.,**
 - **IT solutions to manage GPEA e-records**
 - **Plan to update agency records schedules**

How Do I Do It?

- **Get your Agency Records Officer involved**
 - Evaluate possibility of new e-Gov records created
 - Update your records schedules
- **Get your GPEA IT staff involved**
 - Evaluate/develop IT solutions to capture and appropriately manage GPEA-related electronic records

How Can NARA Help?

- **Clarifying NARA GPEA guidance**
- **Providing training for agency Records Officers regarding GPEA RM requirements**
- **Reviewing/approving agency records schedules containing GPEA records**
- **Detailed PKI ERM guidance being jointly developed with FPKI SC by 10/01/02**

What NARA Can't Help With...

- **Specifying a single government-wide ERM model for e-Gov...**
 - ...because e-Gov RM decisions are widely varying & agency-specific
- **Advising agencies on specific ERM solutions for GPEA systems**

Here Are Some Helpful Resources ...

- **NARA's web site CIO link**
 - *<http://www.nara.gov/records/ciolink.html>*
- **Your agency's NARA Lifecycle Mgmt
Division Work Group**
 - Have your Agency Records Officer contact them for assistance
- **DoD 5015.2-STD (design criteria for
records management applications)**
 - *<http://jitc.fhu.disa.mil/recmgt/#standard>*

One Possible Solution...

- **Integrate a DoD 5015.2-certified records management application solution into your GPEA IT implementation plan**
 - *<http://jitc.fhu.disa.mil/recmgt/>*
- **Endorsed by NARA as “...one approach...” to ERM**
- **Meets Federal regulatory/statutory requirements**

Where Can I Learn More?

- **Mark Giguere, Computer Specialist**
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