Session #1

The Electronic Records Archives (ERA) System:
From the User's Perspective

October 7, 2008

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Overview

- Business Process Re-engineering (BPR)
- Federal Records ERA Integration Team (FREIT)
- Business Process Integrated Product Team (BP IPT)
- Human Factors Focus Groups
- End User Testing

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BPR

- **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
  - Disposition Actions
  - Transfer Records to NARA
  - Federal Records Center (FRC) Storage

  - Destruction of Records
  - Processing holdings for access
  - Reference services
  - Freedom of Information Act (FOIA) and Special Requests
  - Appeals

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Sample BPR Process Map

5.04 Transfer Records from Federal Records Center to Archival Custody (page 1 of 2)
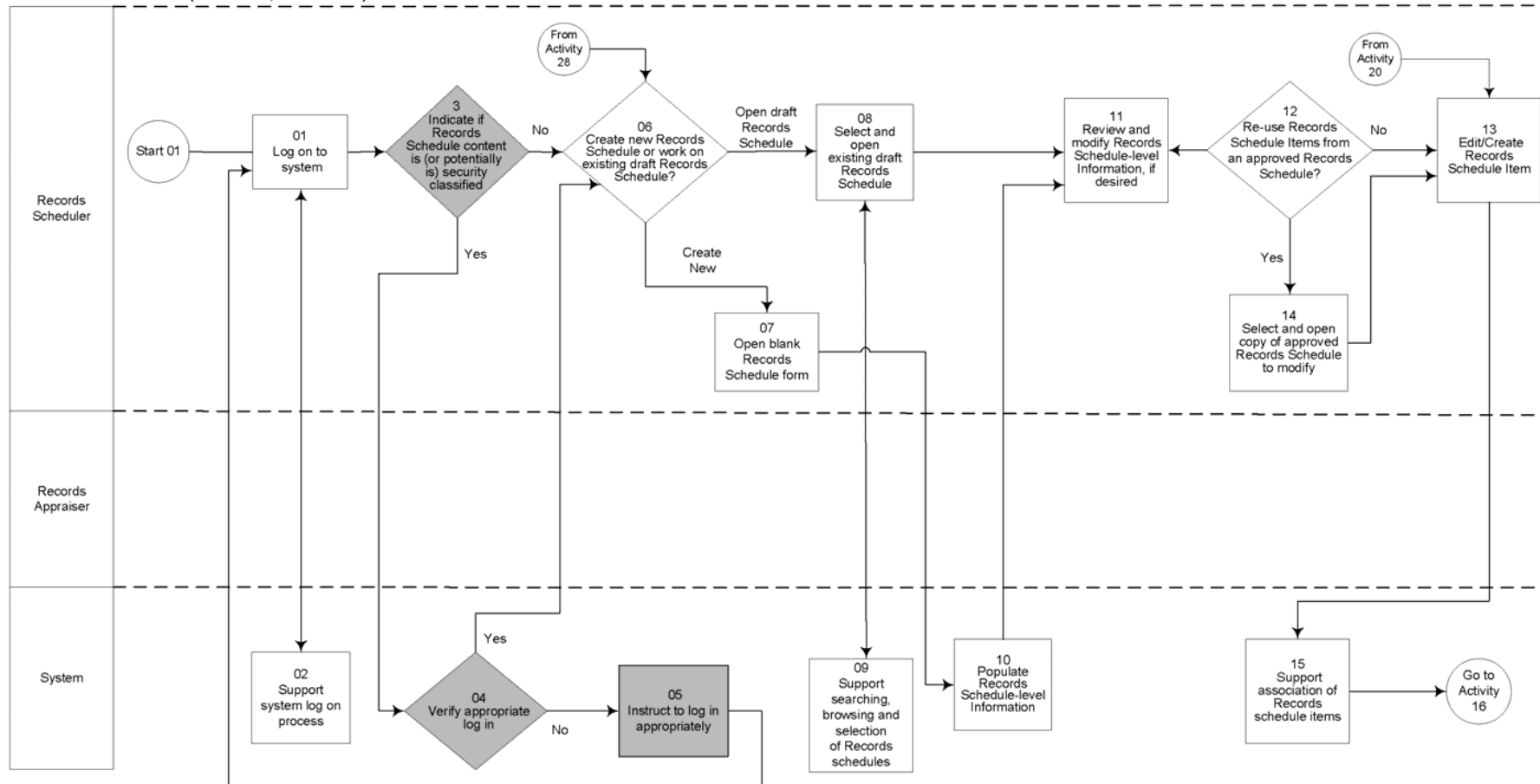(Version 4.1, November 17, 2005)
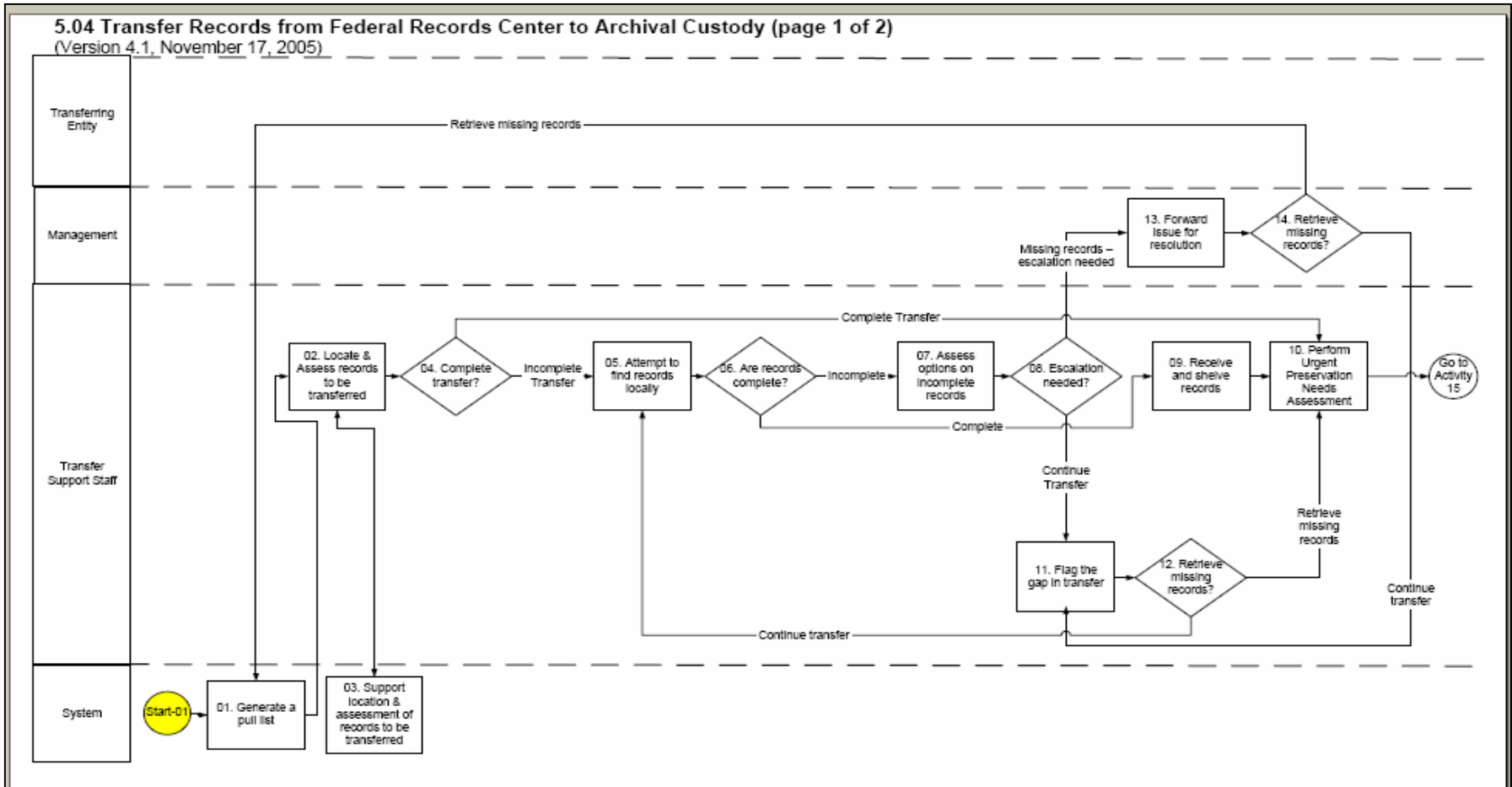
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Sample BPR Map: Studying The Lifecycle of a Record

1.01 Creation and Submission of Records Schedule (page 1 of 2)
(version 4.2, Jan. 27 2006)

The FREIT
(Aug-Nov 2005)

NARA offices with Federal Records' responsibilities organized a series of Integrated Product Teams (IPTs) to decompose the implications of ERA:

- Preservation
- Ingest
- Access
- Special Access and FOIA
- Accessioning
- Records Management
- Description

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FREIT Products

- ## Nov 2005 - Activity Sheets
  - Identified inputs, outputs, tasks in each activity box in each BPR flowchart (230 completed)
  - Identified the data that was transformed by each activity

- ## Mar 2006 - White Papers – completed March 2006
  - Substantive issues where NARA needed to provide guidance to ERA contractor; Subjects included:

  - Media Neutral Schedules
  - Big Bucket schedules
  - Mediated searching
  - Lifecycle Management Teams
  - Preservation and Service Plans

  - Federal Register waiting period
  - Essential characteristics of electronic records
  - Authenticity of electronic records
  - Verification of electronic records

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Sample Activity Sheet

Activities: Initiate Research. Map 9.01, Activities 03 & 04 -- Create a User Profile, If Needed or Desired, and Register.		
Inputs: None		**Outputs:** User name and password, if needed or desired and user profile

Entry	**Task**	**Exit**
Researcher accesses the system	• If researcher does not choose to register with the system, researcher accesses the system directly (see 9.01.05) OR • If already in the system, researcher types in user name and password to access the system directly (see 9.01.05) OR • If researcher chooses to register with the system, creates a user profile unless already in the system • User profile created and researcher is registered in the system • Notifies researcher that registration is successful **Validation** • Is researcher already in the system? • Has system enforced registration requirements? • Is registration still valid or needs renewal?	• Researcher is registered online and has received a user name and password, if needed or desired • User profile established

Business Process IPT

- **BPR process maps** – further refinement of the maps – (Feb 2006-present)

- **Task Definition Forms (TDFs)**
  - Provided greater level of detail
  - Identified questions for further exploration

- **Business rules**
  - Identifying the rules that govern each process
  - Identifying the data that will be transformed through each task

- **Business objects**
  - Ex.: Records schedule, transfer forms

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Task Definition Form

Purpose:	Prepare Transfer Request
Legacy System:	None
Other Information:	Combines BPR 4.1 Activities 04, 07-13, 18-22. These activities were linear steps in BPR 4.1 with no significant decision points, so the Business Practices IPT Working Group decided to collapse them into one activity with multiple tasks (as listed below). This is also consistent with how the Accessioning IPT collapsed activities in their ETVX forms. We cross-walked the tasks in this TDF against the activities in the 4.1 BPR to ensure we did not miss any significant tasks; however, please double-check.

BPR: 4.02.04	SyRS Requirements:		Release Number: 1.1
Entry: Records have been identified for transfer		**Exit:** Request is completed and submitted	
Business Objects referenced for this activity →	**Task:**		**Business Objects updated by this activity →**
Schedule(s) PSP (Transfer Agreement portion)	System: > Pre-populates Request to Transfer Transferring Entity: > Confirm or specify method of transfer (i.e. electronic, non-electronic, push, pull, etc.) > Specifies index/container list of records to be transferred, including optional "own identified tag information" on the containers > Optionally attach electronic records (when the transfer is electronic) > Reviews completed Request to Transfer > Submits Request to Transfer to the system (Submit for Validation to ERA)		**Request to Transfer**

Roles and Workgroups
System
Transferring Entity

Sample Business Rules

BP IPT Rules Development Form

IPT: Ingest - Black Box Report Rules	Date: 6/23/2006	Tips: Use Tab to move from one field to another. Use Ctrl + Tab to indent to make lists in the Rule Text.

Rule #	Type of Rule Template	Rule Text
1.	Type of Rule	The date and time the following occurred must be recorded: 1. Security scan 2. Virus scan 3. Integrity seal
2.	Type of Rule	The version of national security classification word list used must be recorded
3.	Type of Rule	The version of malware database used must be recorded
4.	Type of Rule	The version of sensitivity word list used must be recorded
5.	Type of Rule	The malware software version used must be recorded
6.	Type of Rule	The integrity seal hash used must be recorded
7.	Type of Rule	The integrity seal must be applied
8.	Type of Rule	The results of the following must be recorded as either Pass or Fail: 1. National security classification scan 2. Malware scan 3. Sensitivity scan

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Sample Business Object (before ERA): *The Standard Form (SF-115)*

Request for Records Disposition Authority
(See Instructions on reverse)

To: National Archives and Records Administration (NIR)
Washington, DC 20408

1. From: (Agency or establishment)

2. Major Subdivision

3. Minor Subdivision

4. Name of Person with whom to confer   5. Telephone (include area code)

Leave Blank (NARA Use Only)

Job Number

Date Received

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.

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:

[ ] is not required   [ ] is attached   [ ] 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)

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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
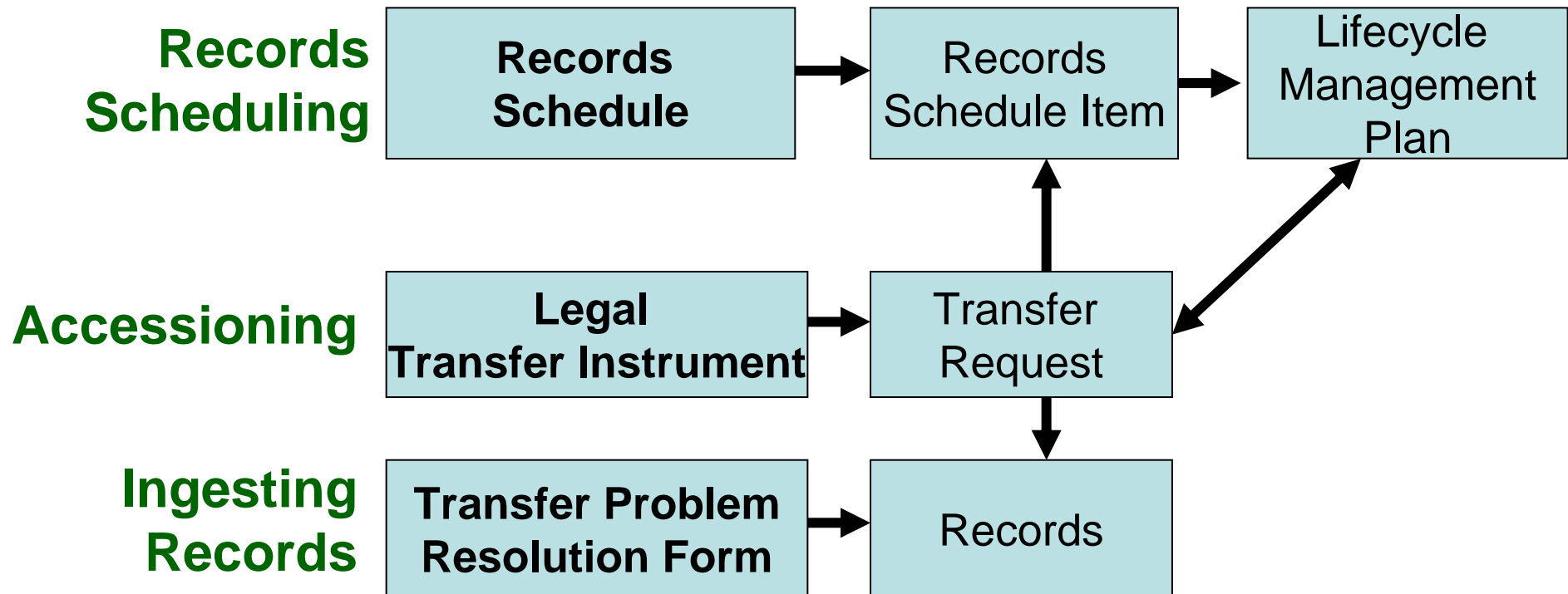
Testing Activities

- **2006** - Human Factors Testing with SMEs and NARA & Lockheed Engineers

- **2007-08** - Incremental End User Testing with variety of SMEs:
  - Those familiar with NARA business
  - Those who had never seen the system

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

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ERA Workflow Model

Records Scheduling

| Records Schedule | → | Records Schedule Item | → | Lifecycle Management Plan |

Accessioning

| Legal Transfer Instrument | → | Transfer Request |

Ingesting Records

| Transfer Problem Resolution Form | → | Records |

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Lessons Learned

- **Involve stakeholders** and especially SMEs early and often

- **Clearly define the business process** in terms that the business owners can understand and validate

- **Involve SMEs** in functional testing

- **Integrate systems engineers** into the process as early as possible

- **Communicate**, communicate, communicate!!!

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