



E-GOV

ERM Updates

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Modern Records Programs

RACO

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OUTLINE

- ERM EGov
 - Enterprise-wide Deployments of RMAs
 - 5015.2 (v.3)
- PDF/A update
- Records Management Handbook

ERM EGov Happenings

- Enterprise-wide deployment of RMAs [EPA]
 - [Recommended Practice](#): Developing and Implementing an Enterprise-wide Electronic Records Management (ERM) Proof of Concept Pilot
Issued 3/31/06
 - [Guidance](#) for Building an Effective Enterprise-wide Electronic Records Management (ERM) Governance Structure
Issued 12/22/05
 - [Recommended Practice](#): Evaluating Commercial Off-the-Shelf (COTS) Electronic Records Management (ERM) Applications
Issued 11/30/05
 - [Guidance](#) on Methodology for Determining Agency-unique Requirements
Issued 8/23/04

ERM EGov Happenings

- Enterprise-wide deployment of RMAs [EPA] (cont.)
 - [Guidance](#) for Coordinating the Evaluation of Capital Planning and Investment Control (CPIC) Proposals for ERM Applications Issued 6/23/03
 - **Coming soon:** RECOMMENDED PRACTICE: Analysis of Lessons Learned for Enterprise-wide ERM Projects

ERM EGov Happenings

- Information management standards [DoD] (AKA 5015.2 v.3)
 - Upcoming *Federal Register* publication for comment
 - Probably not finally promulgated until sometime in FY '07
 - NARA recommendation for civilian agency use sometime after that

ERM EGov Happenings

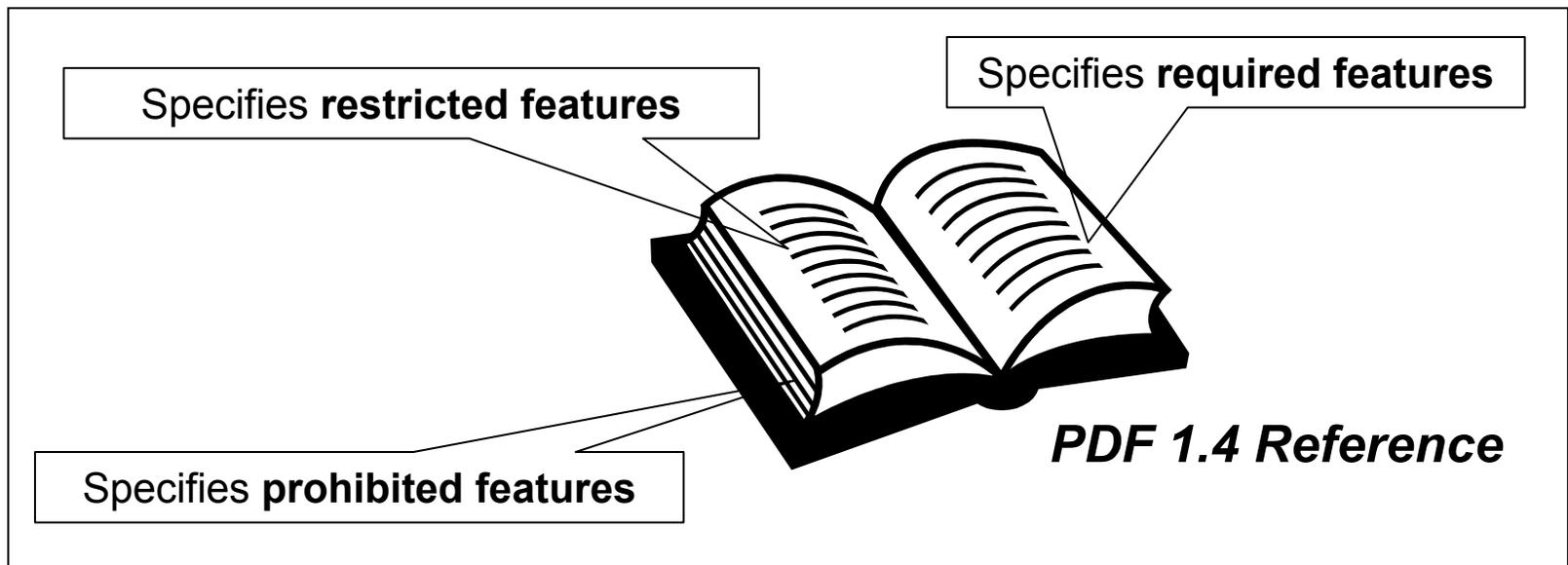
- Information management standards [DoD] (AKA 5015.2 v.3)
 - Nature of enhancements/changes
 - Changes to accommodate DoD Netcentric information environment
 - Changes funded by NARA R&D
 - Enhanced minimum metadata profile to deal with new transfer formats for permanent records
 - Greater specificity in RMA -> RMA or RMA -> NARA transfer capabilities

Overview of PDF/A-1 and the ISO Process

- Multi-part ISO International Standard
 - ISO 19005-1:2005, *Document management – Electronic document file format for long-term preservation – Part 1: Use of PDF 1.4 (PDF/A-1)*
 - Part 2 (19005-2) intended to bring PDF/A into conformance with PDF 1.6
 - Part 3 (19005-3) intended to address dynamic content (e.g., Java Script)
 - And additional future parts, as necessary

PDF/A-1 Approach

- PDF/A-1 specifies:
 - The subset of PDF components, from the PDF 1.4 Reference), that are either required, restricted, or prohibited, **and**
 - How these components may be used by software



PDF/A

Two Conformance Levels

- Level A - Promotes the creation of PDF/A files with rich semantic and structural information,
 - Uses “Tagged PDF” and Unicode character maps
- Level B - Allows less complex files such as scanned images.
 - Includes all requirements of 19005-1 minimally necessary to preserve the visual appearance
 - Does not require users to define structure or other descriptive information.

PDF/A-1 Dos and Don'ts

PDF/A-1 Dos:

- Embed fonts
- Device-independent color
- XMP metadata,
- Tagging

PDF/A-1 Don'ts:

- Encryption
- LZW Compression
- Embedded files
- External content references
- Transparency
- Multi-media
- JavaScript

NARA's Expectations for PDF/A

- PDF/A-1 should address some of the PDF archival issues and enable PDF records to be maintained longer as PDF
- Standard maintained by ISO, not just vendors
- Agencies should implement PDF/A-1 along with records management policies and procedures
 - Such as....
 - NARA's PDF Transfer Guidance
 - AOUSC's document management program

Scope and Usage

NARA's PDF Transfer Guidance

- Usage: Instructions on what is required to transfer existing permanent PDF records to NARA.
- Scope
 - Applies to permanent records
 - PDF 1.0 - 1.4
 - Addresses quality criteria, laws and regulations, transfer documentation, NARA contact information

PDF/A-1 ISO Standard

- Usage: Programming specification to create and process the file format
- Scope
 - Applies to one aspect of long term preservation (i.e., file format)
 - PDF 1.4
 - Addresses how to use the PDF 1.4 reference to create and process a flavor of PDF that is more amenable to long term preservation.
 - Should be used as one piece of the archival puzzle

Records Management Handbook

- Goal – web-based, “one-stop shop” for users of NARA records management information.
 - Focus content on Federal agency stakeholders
 - Organize access on how end users approach the NARA website
 - Return appropriate information with links to other relevant information
- Multi-year effort synched with FAR revisions re. ERM

Records Management Handbook

- FY 2006 Activities
 - Survey of Internal Users – December 2005
 - Suggested Content Changes
 - Online versions of agency schedules
 - Toolkit type information
 - Spell out acronyms
 - Better links to regional information
 - FAQs on off-site storage & retrieval, transfer to NARA
 - PDs for records managers
 - Better access to guidance and tools

Records Management Handbook

- FY 2006 Activities
 - Cluster Analysis of Content
 - MOU with Vivisimo (FirstGov search engine)
 - Clustering puts search results into useful categories
 - Cell = cell biology, cell phone, fuel cell, stem cell, splinter cell review
 - Analysis of NARA web could lead to
 - new organization or
 - new access points

Records Management Handbook

- FY 2006 Activities
 - Focus Group Meetings
 - “external data collection from a focus group of agency records managers”
 - Exact approach dependent upon cluster work
 - DC area discussion session
 - Regional teleconferences?

QUESTIONS?

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- RM Handbook

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