

**National Archives and Records Administration**  
**Electronic Records Management Resource Guide**  
**May 2006**

The Electronic Records Management (ERM) resources described in this document 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 (ERM) 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
- Vital Records

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**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.

<http://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 ERKS or ERM system might need to perform in order to satisfy basic records management functions.

<http://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.

<http://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.

<http://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.

<http://www.archives.gov/records-mgmt/policy/prod4rev.html>

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- **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.  
<http://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.  
<http://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.  
<http://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 (ERM).  
<http://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.  
<http://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.  
<http://www.archives.gov/records-mgmt/policy/pilot-guidance.html>

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- **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.

<http://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 (ERM)**

Specifies the records management and information technology [IT] terminology associated with Electronic Recordkeeping (ERK).

<http://www.archives.gov/records-mgmt/initiatives/context-for-erm.html>

- **What is Electronic Recordkeeping (ERK)**

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

<http://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 (ERK).

<http://www.archives.gov/records-mgmt/policy/prod1afn.html>

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- **Typical Records Management [RM] Functions and Typical RM Program Activities**  
Provides an overview of basic concepts about typical records management functions and overall records management program functions.  
<http://www.archives.gov/records-mgmt/policy/prod6a.html>
- **User Guide to Slide Presentation: Electronic Recordkeeping**  
A user's guide for Fast Track PowerPoint Briefings.  
<http://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.  
<http://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.  
<http://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.  
<http://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.  
<http://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.  
<http://www.archives.gov/records-mgmt/policy/electronic-signature-technology.html>

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- **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.

<http://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.

<http://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.

<http://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.

<http://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.

<http://www.archives.gov/records-mgmt/initiatives/pdfrecords.html>

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

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

<http://www.archives.gov/records-mgmt/initiatives/digital-geospatial-data-records.html>

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

Specifies requirements for transferring permanent web content records to NARA.  
<http://www.archives.gov/records-mgmt/initiatives/web-content-records.html>

**Training – Records Management**

NARA has developed updated records management courses designed to meet the changing Federal recordkeeping environment, and 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.

<http://www.archives.gov/records-mgmt/training/index.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.

<http://www.archives.gov/records-mgmt/vital-records/recovery.html>

For additional information on ERM tools, please go to:

<http://www.archives.gov/records-mgmt/policy/>

<http://www.archives.gov/records-mgmt/initiatives/erm-overview.html>