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| DRAFT  NARA Federal Electronic Records Modernization Initiative (FERMI)  Use Cases for Electronic Messages |
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| April 2019 |

Version History

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| **Version** | **Date** | **Change Description** | **Author of Change** |
| 1.1 | 01/25/2018 | Posted on Records Express for public review | NARA |
| 1.2 | 05/16/2018 | Revised to address public feedback | NARA |
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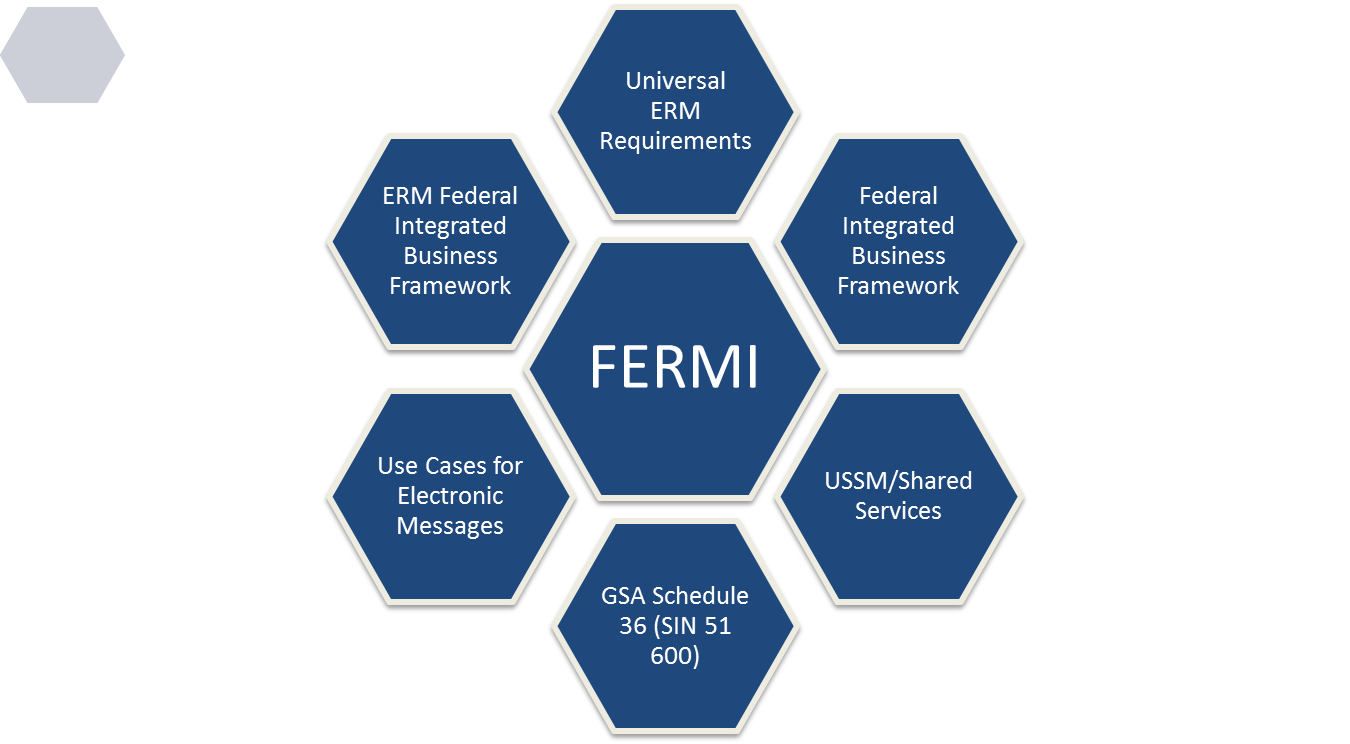
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# Introduction

The Federal Electronic Records Modernization Initiative (FERMI) is part of the National Archives and Records Administration's (NARA) effort to develop a comprehensive government-wide strategy for procuring records management solutions and services. FERMI has two primary goals:

* To help agencies obtain Electronic Records Management (ERM) solutions and services that fit their needs through an improved procurement process; and
* To proactively address changing trends in ERM by setting policy for new solutions and services.

To assist agencies in achieving these goals NARA created the [Universal ERM Requirements](https://www.archives.gov/records-mgmt/policy/universalermrequirements).T[h](https://www.archives.gov/records-mgmt/policy/universalermrequirements)eser[e](https://www.archives.gov/records-mgmt/policy/universalermrequirements)q[u](https://www.archives.gov/records-mgmt/policy/universalermrequirements)i[r](https://www.archives.gov/records-mgmt/policy/universalermrequirements)e[m](https://www.archives.gov/records-mgmt/policy/universalermrequirements)e[n](https://www.archives.gov/records-mgmt/policy/universalermrequirements)t[s identify high-level program and system needs for agencies to follow.](https://www.archives.gov/records-mgmt/policy/universalermrequirements) NARA also partnered with the General Services Administration (GSA) to update [Multiple Award Schedule 36](https://www.gsa.gov/acquisition/purchasing-programs/gsa-schedules/list-of-gsa-schedules/schedule-36imaging-document-solution/records-management-solutions). This resulted in updated procurement vehicles related to physical records management (SIN 51 504) and electronic records management (SIN 51 600) that were published in the beginning of Fiscal Year 2018. Additionally, NARA is coordinating with GSA’s [Office of Shared Solutions and Performance Improvement (OSSPI)](https://www.gsa.gov/about-us/organization/office-of-governmentwide-policy/office-of-shared-solutions-and-performance-improvement-osspi)on [Unified Shared Services Management](https://www.ussm.gov/) (USSM) and serving as the Standards Lead for Records Management. NARA’s Electronic Records Management Federal Integrated Business Framework (ERM-FIBF) documents will be published on [USSM’s FIBF website](https://www.ussm.gov/fibf/).

Agencies can use the FERMI resources to comply with the policies and mandates set forth by NARA and the Office of Management and Budget (OMB). These resources will help agencies gain greater consistency, reliability, and efficiency in managing their electronic records.

# Potential ERM Solutions and Services

FERMI is centered on improving agencies’ ability to procure and implement ERM solutions and services. The Universal ERM Requirements, the Federal Business Lifecycle and Business Capabilities, and the use cases are all part of the ERM Federal Integrated Business Framework (ERM-FIBF). They are not intended to restrict vendors or agencies regarding the types of solutions and services they procure; however, FERMI resources serve as a starting point for agencies to adapt to fit their particular business needs.

There are several options agencies and vendors can use to implement ERM solutions and services. Potential options include, but are not limited to:

* Traditional Electronic Records Management Systems (ERMS) – In this model, each agency hosts their own separate, stand-alone ERM system or solution. The agency procures a solution or service that is dedicated to ERM. This approach may be ideal for small to medium-sized agencies with a straightforward mission. For example, Inspectors General, or agencies with case management work.
* Hosted Electronic Records Management as a Service (ERMaaS) – In this model, a hosted ERMS solution is implemented as a service by an agency or a vendor. It can then be shared with components or other agencies. If hosted by an agency, the hosting agency would handle management of the tool and the costs of implementation would be shared by those agencies using the service.
* Embedded ERM – In this model, ERM functions are embedded in the existing business application that is a source of records. This option could provide higher-quality records and a much better user experience as users would not need to learn how to use a new system to manage records.
* ERMaaS Microservices – In this model, records management functions are implemented as a single set of shared microservices to which business applications will connect to execute ERM functions. This option provides the benefits of embedded ERM combined with the centralization of a hosted solution. This is currently the rarest solution.

Agencies should pursue the approach that works best for their circumstances. While NARA encourages automating records management processes to reduce the burden on end users, NARA does not advocate a specific approach for agencies with these Use Cases. The Use Cases in this document are intended to apply to any approach an agency may take.

# Purpose

NARA is developing Use Cases to provide example ERM workflows for agencies, shared services providers, and vendors. By mapping these core business capabilities in workflows, agencies have a tool to ask vendors how they meet the required capabilities. They can use the workflows as a comparison tool when asking different vendors and service providers to perform the same workflow to show how they accomplish the goal of managing electronic records. This can be especially helpful if the solutions and services were not designed specifically for a records management purpose.

Once vendors self-certify their solutions and services meet NARA’s Universal ERM Requirements, GSA can list them as available for procurement on [Schedule 36](https://www.gsa.gov/acquisition/purchasing-programs/gsa-schedules/list-of-gsa-schedules/schedule-36imaging-document-solution/records-management-solutions). The Use Cases form the foundation for a comprehensive Federal ERM procurement strategy by modeling the functionality agencies need performed by records management solutions and services.

The Use Cases for Electronic Messages are based on the ERM Federal Integrated Business Framework (ERM-FIBF). The ERM-FIBF is a tool that identifies the key functions, activities, and capabilities necessary for agencies to manage their electronic records.

NARA developed the ERM-FIBF according to standards set out in USSM’s [Federal Integrated Business Framework (FIBF](https://www.ussm.gov/fibf/)). The FIBF serves as a model to help the Federal government better coordinate and document common business needs, improve processes and performance, and drive economies of scale. With the development of the ERM-FIBF, NARA hopes to ensure records management requirements conform to the FIBF and are addressed in all Federal Service Areas.

This document demonstrates, through a variety of business scenarios, how the ERM-FIBF applies when managing electronic messages. The business scenarios show the ideal flow of events. Due to agency-specific situations and processes, agencies will have to take steps not covered here to manage their electronic messages, such as how to perform capture or address a new messaging platform. There may be additional starts and stops to the processes not shown here.

NARA will continue to build Use Cases to address other electronic records formats beyond electronic messages, such as social media. By building business scenarios documenting the key activities, inputs, outputs, and the intersections with other Federal Services Areas, NARA hopes to better describe to vendors and service providers the Federal requirements for managing electronic records.

# Key Terms

|  |  |
| --- | --- |
| **LIFECYCLE PHASE** | **DEFINITION** |
| **Capture** | Refers to placing digital objects created in the course of agency business under records management control for management, disposition, and access purposes. Records are not necessarily moved from the system they reside in when they are captured. |
| **Maintenance & Use** | Refers to the management of records through their most active stage. This includes ensuring records are migrated and converted as systems change, so the records remain usable. |
| **Disposal** | Refers to the destruction of records that have met their retention period and no longer have business value to the organization. Records that meet these conditions are destroyed in accordance with their records retention schedule using methods outlined in [NIST Special Publication 800-88](http://ws680.nist.gov/publication/get_pdf.cfm?pub_id=50819). |
| **Transfer** | Refers to NARA taking legal custody of records that are identified as permanent and having historical value. These permanent records are kept by the creating agency for the period of time specified by their records retention schedule and then legally transferred to NARA. |
| **ACTORS** | **DEFINITION** |
| **Agency Personnel** | Refers to Federal employees, contractors, volunteers, and others that create, receive, access, or use Federal records on behalf of the agency. |
| **Agency Records Management Staff** | Refers to the designated Agency Records Officer and other records management staff involved with administering the records management program. |
| **Business Process Owner** | Refers to the authorized person(s) in charge of a business process that creates and maintains records. |
| **Information System Owner** | Refers to the person(s) responsible for the overall procurement, development, integration, modification, operation, maintenance, and retirement of an information system. |
| **NARA Accessioning Archivists** | Refers to the accessioning archivists who work with agencies to transfer permanent electronic records to NARA. |
| **NARA Appraisal Archivists** | Refers to the appraisal archivists in the Office of the Chief Records Officer who work with agencies on scheduling and appraising records. |
| **KEY TERMS** | **DEFINITION** |
| **Agency Records Management System** | Refers to the systems or services the agency has designated to manage its electronic records. |
| **Assumptions** | Refers to a condition that exists or a condition that has been executed prior to the start of the Use Case. |
| **Capstone Official** | Refers to senior officials designated by account level or by email addresses, whether the addresses are based on an individual’s name, title, a group, or a specific program function. See [NARA Bulletin 2013-02: Guidance on a New Approach to Managing Email Records](https://www.archives.gov/records-mgmt/bulletins/2013/2013-02.html). |
| **Group of records** | Refers to a collection of like records that are scheduled and maintained together. For example, a case file or records relating to a specific project that can all be analyzed and assigned a disposition together. Often known as records series. Not to be confused with NARA's designation of Records Groups for each agency. |
| **Input** | Refers to an item needed to execute an event that is part of a business scenario. |
| **Metadata** | Refers to the identifiers that describe the context, content, and structure of the records. Examples include author, document type, date, record category, file size, etc. |
| **Output** | Refers to the result of an event being executed as part of a business scenario. An output is needed to proceed to the next event in the business scenario. |
| **Process** | Refers to a series of events or steps taken in order to execute a business scenario. |
| **Reporting** | Refers to the generating of reports to allow for further analysis and to demonstrate effective controls and compliance. Reports may include search results, records eligible for disposition, audit logs, and other customized or ad hoc reports. |
| **RECORD TYPE** | **DEFINITION** |
| **Electronic Messages** | Includes email, instant messages, chat messages, text messages, voicemail messages, and other messages that meet the definition of Federal records. |
| **VISUAL WORKFLOW KEY** | |
| **Rectangle**  **https://lh3.googleusercontent.com/CSM_69xhhy_WgC4TdPZ-jxyfxC0EJfuwpRtaUlRLaM24G7vFnGUGHqrjDfXY8d8F3FNcMaNw1qlKCKX9jf9mhwuZ7lRddNzxtk8kydmb-IOehHe8L__trrf_Y1U49jXeoYOPcmjU** | Process or activity |
| **Diamond**  **https://lh3.googleusercontent.com/6kPD_H1oBw42sIEmup7FG6fX57AQSaRBqr7DDk6Ux6ck7O33MJ1qr3RWm047whPkY-Oi6DJhZLFiF_s1d6Q5nmW6ou-cHMMb1gr6Z_5dpW0pmeLuzYCeCZeJlbkGzbMVef6iPwDF** | Decision point, usually indicated by yes/no text |
| **Arrows**  **https://lh6.googleusercontent.com/v_acITxRJHQ2o90kfCTFIaGKGuImgsivA8vWTUSEXzby_SW0fPK7NUDQyzODib6NcrURnjXo_jb60W809yXjSSYOUdkKS3kyW7Zeq3c6LXTBTOMK3exSpvaoBJmelBSdClNO4uRS** | Flow of activity |
| **https://lh4.googleusercontent.com/Si1sO4C0nQytYXRKXJFv2bBsnw658XnQ4zHcC_WouUX4-UBtfc9lX4WTUp-O3BUObJoxNrQiARVplY3FVp8qB1bVNmEJ7hOBzrja_ccKzL2hSQFM7azJu5Mb0hl14oVl30IWeFLvOval** | Start or end of a process |

# Scope

**ERM-FIBF Components**

The Use Cases for Electronic Messages are based on the ERM-FIBF. The components of the ERM-FIBF are Functions, Activities, Capabilities, and Business Scenarios. The four Functions are based on the lifecycle of electronic records management: Capture, Maintenance and Use, Disposal, and Transfer. Within each of the Functions, we identified the Activities that occur in that Function. For each Activity, we identified the Capabilities needed to accomplish that Activity. For each Capability, we identified the Inputs, Outputs, and Processes needed to accomplish that capability. For each Process, we identified events needed to accomplish that Process. The Capabilities can be manually executed or automated, and are solution agnostic.

**Business Scenarios**

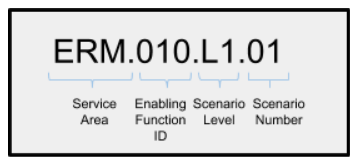
Business Scenarios identify the events that occur when executing a Process. Each Business Scenario reflects the scope and complexity of the Process across the Federal Government. Business Scenarios are categorized as follows:

* **Level 1 (L1):** Affects most Federal agencies and/or impacts a large transaction volume or dollar value within the Federal government
* **Level 2 (L2):** Affects multiple Federal agencies and requires some specialized processing from the service consumer or auditor perspective
* **Level 3 (L3):** Affects a few Federal agencies and requires unique processing, but is mandated by legislation

**Use Cases**

This document outlines four Use Cases based on the records management lifecycle: Capture, Maintenance and Use, Disposal, and Transfer. The Use Cases identify the business events, inputs, and outputs required to accomplish records management processes. They are based on the business scenarios and grouped together to create stories that illustrate how business capabilities are executed.

The Use Cases are written from the perspective of a Federal agency and show how electronic messages move through the lifecycle. The Business Actors are the individuals involved in each Business Scenario that make up the Use Cases. The Assumptions are the conditions that exist or conditions that have been executed prior to the start of the Use Cases. An Event is a building block that forms a Business Scenario; the Input(s) is the item or group of items needed to execute an Event; the Output(s) is the result of the Event being executed and is something that is needed to proceed to the next Event in the Business Scenario.



*Figure 1: Use Case Identifier Notation*

Below is the list of use cases and associated business scenarios for managing electronic messages.

**ERM.010 - Electronic Message Capture**

* ERM.010.L1.01. Determine whether the electronic message meets the criteria for a record
* ERM.010.L1.02. Determine if the electronic message can be placed under records management control
* ERM.010.L1.03. Verify the electronic message possesses the characteristics of a record: reliability, authenticity, integrity, and usability
* ERM.010.L1.04. Analyze records to determine retention period based on business value
* ERM.010.L1.05. Obtain NARA approval of retention period for records
* ERM.010.L1.06. Determine which records schedule applies to the electronic message
* ERM.010.L3.01. Capture electronic messages sent or received from personal accounts within 20 days

**ERM.020 - Electronic Message Maintenance & Use**

* ERM.020.L1.01. Determine appropriate access level for an electronic message record
* ERM.020.L1.02. Manage the metadata of an electronic message record throughout the lifecycle
* ERM.020.L1.03. Ensure audit trail of an electronic message record is available to see what changes have been made to the content, metadata, or access level of a record and by whom
* ERM.020.L1.04. Place hold on electronic message records
* ERM.020.L1.05. Lift hold on social media records identified by scope determination
* ERM.020.L1.06. Identify electronic message records and respond to satisfy an information request
* ERM.020.L1.07. Export electronic message records from legacy system for migration
* ERM.020.L2.01. Convert records into acceptable formats to protect from technological obsolescence

**ERM.030 - Electronic Message Disposal**

* ERM.030.L1.01. Notify business owners of electronic message records eligible for disposal
* ERM.030.L1.02. Dispose of approved electronic message records
* ERM.030.L2.01. Change the retention period of temporary electronic message records approved for disposal to accommodate an order, law, or business justification

**ERM.040 - Electronic Message Transfer**

* ERM.040.L1.01. Approve transfer of permanent electronic message records to NARA
* ERM.040.L1.02. Prepare electronic message records for transfer to NARA
* ERM.040.L1.03. Transfer legal custody of electronic message records from agency to NARA
* ERM.040.L2.01. Extend the time frame for which an agency retains legal custody of permanent electronic message records to accommodate an order, law, or business justification

Within the larger FIBF content, the ERM Service Area is a bit different. Records management requirements should be embedded within all the other end-to-end processes that create records in other Service Areas. For example, capturing records in the payroll process and ensuring proper disposition according to NARA’s General Records schedule. NARA will continue to work with USSM to ensure the ERM-FIBF as an enabling service area is incorporated into all other relevant service areas.

Each section also includes visual workflows which display how the flow of events can occur in each business scenario. As previously stated, these workflows show the ideal business scenarios. Agencies may have starts and stops in the process that need to be addressed and are not shown in the visual workflow. The events that comprise each business scenario do not necessarily flow in sequential order.

Additionally, the workflows will be influenced by the solutions and services model selected and deployed by the agency. Whether the agency uses a traditional ERMS, embedded records management, or ERMaaS microservices, the workflows will need to be altered to fit different approaches.

# Use Cases for Electronic Messages and Workflows

The Use Cases and workflows are written from a high-level perspective and are intended to cover all types of electronic messages. The base level requirements for all electronic messages are the same: records must be captured and managed. It is an assumption that different types of electronic messages will require different approaches to management. This is important to remember when using the Use Cases to demonstrate how vendors and service providers meet the requirements. For example, the steps for capture and management of text messages may be different than the approach for email. The steps through the lifecycle can be done automatically, semi-automatically or manually. While NARA would like to see agencies move toward full automation, agencies may not be in the position to do this due to limited resources or other constraints.

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| ERM.010 – Use Case for Electronic Message Capture | | | |
| **Enabling Function: Records Capture**  *Note: The ERM functions affect every other Federal service area in that all agency mission support activities create electronic messages. The Enabling Functions provides support to other service areas and should be combined into their use cases to reflect how records are captured and managed.* | | | |
| **Business Scenario(s) Covered** | | | |
| * ERM.010.L1.01. Determine whether the electronic message meets the criteria for a record * ERM.010.L1.02. Determine if the electronic message can be placed under records management control * ERM.010.L1.03. Verify the electronic message possesses the characteristics of a record: reliability, authenticity, integrity, usability * ERM.010.L1.04. Analyze electronic message records to determine retention period based on business value * ERM.010.L1.05. Obtain NARA approval of retention period for electronic message records * ERM.010.L1.06. Determine which records schedule applies to the electronic message record * ERM.010.L3.01. Capture electronic messages sent or received from personal accounts within 20 days. | | | |
| **Business Actor(s)** | | | |
| Agency Personnel, Agency Records Management Staff**,** Business Process Owner, Information Systems Owner | | | |
| **Synopsis** | | | |
| When agency personnel receive or send an electronic message, the records management lifecycle begins. After receipt or transmission of the message, agencies begin the process of determining how to manage the electronic message. Electronic messages sent or received in the course of agency business are assumed to be records. For managing electronic messages under a [Capstone approach](https://www.archives.gov/records-mgmt/bulletins/2013/2013-02.html), this includes determining the role of the user and capturing the electronic messages. The process for managing electronic messages includes determining the message content, matching the message to existing business functions, ensuring the format is acceptable, and ensuring the metadata is adequate and accurate. The agency is responsible for verifying the electronic message can be managed in a way to ensure it is reliable, authentic, usable, and has integrity.  The next process analyzes a group of records to determine the retention period. This consists of identifying the business function of the group of records, determining the business value of the group of records, and identifying retention periods of similar records. Agencies then submit a description for the group of records and a proposed retention period to NARA for approval. Once agencies receive approval from NARA to use the retention period for the group of records, they can assign that retention period to records.  Finally, the agency will assign the electronic message to the appropriate records schedule, such as the [Capstone GRS](https://www.archives.gov/files/records-mgmt/grs/grs06-1.pdf). If there is not a records schedule, electronic messages must be treated as permanent. This process consists of determining the correct record group to assign the electronic message, ensuring the assigned record group is tied to a records schedule, and assigning the electronic message to the previously identified group of records.  If agency personnel send or receive messages from personal accounts, the messages must be forwarded or copied to official accounts within 20 days. Agencies have policies to address the requirement to copy or forward to official accounts electronic messages that were sent or received from personal accounts. | | | |
| **Assumptions and Dependencies** | | | |
| 1. There are no predecessor events required to trigger the Initiating Event. 2. These events can be automated, semi-automated, or be executed manually. 3. All the inputs and outputs listed in each event have been created or are available for use to execute the events. 4. There are systems or repositories designated to manage an agency’s electronic messages. 5. The author or actor with intimate knowledge of the transaction or activity is available to verify the electronic message if a manual approach is taken. 6. The electronic messaging account(s) associated with the Capstone Official are considered permanent records. Agencies may choose to allow culling of non-record email from Capstone Official accounts. 7. Agencies will perform ongoing tracking of changes to the role of Capstone officials to ensure the system is capturing all permanent electronic messages. They will maintain documentation to include mapping between individual accounts and the positions identified for permanent retention under Capstone. This documentation will need to be retained and updated all through the creation, maintenance and use of the records and not only at the time of transfer. 8. This business process includes a scheduling approval process to account for both scheduled and unscheduled electronic messages. 9. Agencies personnel are aware of the metadata necessary for an electronic message records to be complete. | | | |
| **Initiating Event** | | An electronic message has been created or received. | |
| **ERM.010 - Electronic Message Capture** | | | |
| **Typical Flow of Events** | | | |
|  | **ERM Event** | **Input(s)** | **Output(s) / Outcome(s)** |
| **ERM.010.L1.01. Determine whether the electronic message meets the criteria for a record** | | | |
| **1** | Determine the subject of the electronic message, including any attachments.  (ERM.010.020 – Records Validation) | * Electronic message content * Electronic message attachments * Criteria for a record | * Subject of electronic message |
| **2** | Determine if the subject of the electronic message supports any of the business functions of the department or agency.  (ERM.010.020 – Records Validation) | * Subject of electronic message * List of business functions | * Subject of electronic message is determined |
| **3** | Ensure the electronic message metadata is complete (author, date created, date last edited).  (ERM.010.020 – Records Validation) | * Electronic message * Electronic message metadata | * Electronic message a is complete |
| **4** | Verify the electronic message as a record.  (ERM.010.020 – Records Validation) | * Subject of electronic message * List of business functions * Complete electronic message | * Electronic message verified as a record |



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| **ERM.010 - Electronic Message Capture** | | | |
| **Typical Flow of Events** | | | |
|  | **ERM Event** | **Input(s)** | **Output(s) / Outcome(s)** |
| **ERM.010.L1.02. Determine if the electronic message records can be placed under records management control** | | | |
| **5** | Determine if the format of the electronic message record matches the approved formats in use at the agency.  (ERM.010.020 – Records Validation) | * Electronic message record * Agency approved formats * Agency systems | * Electronic message record format matches the approved formats |
| **6** | Ensure the electronic message record metadata is complete.  (ERM.010.020 – Records Validation) | * User computer/device * Computer software * Electronic message record metadata * Agency systems | * Electronic message record metadata is complete |
| **7** | Verify electronic message record can be placed under records management control.  (ERM.010.020 – Records Validation) | * Electronic message record format is approved * Electronic message record metadata is complete * Agency systems | * Electronic message record can be placed under records management control |



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| **ERM.010 - Electronic Message Capture** | | | |
| **Typical Flow of Events** | | | |
|  | **ERM Event** | **Input(s)** | **Output(s) / Outcome(s)** |
| **ERM.010.L1.03. Verify the electronic message record possesses the characteristics of a record: reliability, authenticity, integrity, and usability** | | | |
| **8** | Ensure the electronic message record has been placed under records management control.  (ERM.010.020 – Records Validation) | * Electronic message * Agency systems | * Records management controls applied to electronic message |
| **9** | Ensure the electronic message represents a full and accurate account of the transaction or activity.  (ERM.010.020 – Records Validation) | * Electronic message content | * Electronic message is considered reliable |
| **10** | Ensure the electronic message metadata elements are accurate. (ERM.010.020 – Records Validation) | * Electronic message metadata | * Electronic message is considered authentic |
| **11** | Ensure the electronic message is complete and unaltered.  (ERM.010.020 – Records Validation) | * Electronic message content * Electronic message audit trail | * Electronic message is considered to have integrity |
| **12** | Ensure the electronic message can be located, retrieved, presented, and interpreted.  (ERM.010.020 – Records Validation) | * Agency systems * Computer software | * Electronic message is considered usable |
| **13** | Validate the characteristics of the electronic message and confirm as a record.  (ERM.010.020 – Records Validation) | * Electronic message is reliable * Electronic message is authentic * Electronic message has integrity * Electronic message is usable | * Electronic message meets the characteristics of a record |



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| **ERM.010 - Electronic Message Capture** | | | |
| **Typical Flow of Events** | | | |
|  | **ERM Event** | **Input(s)** | **Output(s) / Outcome(s)** |
| **ERM.010.L1.04. Analyze electronic message records to determine retention period based on business value** | | | |
| **14** | Examine group of records to identify primary business function(s).  (ERM.020.020 – Records Retention) | * Agency systems * Group of records | * Business function of group of records is identified |
| **15** | Analyze existing laws and regulations related to group of records to determine business value.  (ERM.020.020 – Records Retention) | * Group of records * Business function * Related laws and regulations | * Business value of group of records is determined |
| **16** | Research existing approved agency records schedules to identify retention periods of similar records.  (ERM.020.020 – Records Retention) | * Business function * Business value * Records schedules | * Relevant records retention periods |
| **17** | Assign proposed retention period for group of records.  (ERM.020.020 – Records Retention) | * Business function * Relevant records retention periods * Business value | * Proposed retention period for group of records |



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| **ERM.010 - Electronic Message Capture** | | | |
| **Typical Flow of Events** | | | |
|  | **ERM Event** | **Input(s)** | **Output(s) / Outcome(s)** |
| **ERM.010.L1.05. Obtain NARA approval of retention period for electronic message records** | | | |
| **18** | Create description for group of records which includes record type, purpose, function, and retention period.  (ERM.020.020 – Records Retention) | * Record type * Purpose * Business function * Retention period | * Records description |
| **19** | Add description of group of records to the agency records control schedule.  (ERM.020.020 – Records Retention) | * Records description | * Agency records control schedule |
| **20** | Submit agency records control schedule to NARA for approval.  (ERM.020.020 – Records Retention) | * Agency records control schedule | * Agency records control schedule submitted to NARA for approval |
| **21** | Receive approval from NARA to assign retention period for group of records.  (ERM.020.020 – Records Retention) | * Communication from NARA | * Records retention period is approved |



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| **ERM.010 - Electronic Message Capture** | | | |
| **Typical Flow of Events** | | | |
|  | **ERM Event** | **Input(s)** | **Output(s) / Outcome(s)** |
| **ERM.010.L1.06. Determine which records schedule applies to the electronic message** | | | |
| **22** | Examine the current list of groups of records for assignment.  (ERM.010.030 - Records Retention) | * List of groups of records | * Appropriate group of records is identified |
| **23** | Ensure the appropriate group of records is tied to a records schedule.  (ERM.010.030 - Records Retention) | * Identified group of records * Records schedule | * Group of records is in records schedule |
| **24** | Assign the electronic message to the appropriate group of records.  (ERM.010.030 - Records Retention) | * Electronic message * Group of records in the records schedule | * Electronic message is assigned to appropriate group of records |



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| **ERM.010 - Electronic Message Capture** | | | | |
| **Typical Flow of Events** | | | | |
|  | **ERM Event** | **Input(s)** | **Output(s) / Outcome(s)** |  |
| **ERM.010.L3.01. Capture electronic messages sent or received from personal accounts within 20 days** | | | |  |
| **1** | Send or receive message relating to agency business in personal electronic messaging account.  (ERM.010.020 – Records Validation) | * Electronic message sent or received in personal account | * Determination that electronic message should be forwarded or copied to official agency account |  |
| **2** | Copy or forward message with associated metadata to official agency-administered account within 20 days.  (ERM.010.020 – Records Validation) | * Electronic message sent or received in personal account | * Electronic message incorporated into official agency system |  |



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| ERM.020 – Use Case for Electronic Message Maintenance & Use | | | | |
| **Enabling Function: Records Maintenance & Use** | | | | |
| **Business Scenario(s) Covered** | | | | |
| * ERM.020.L1.01. Determine appropriate access level for electronic message records * ERM.020.L1.02. Manage the metadata of an electronic message throughout the lifecycle * ERM.020.L1.03. Ensure audit trail of an electronic message record is available to see what changes have been made to the content, metadata, or access level of the electronic message and by whom * ERM.020.L1.04. Place hold on electronic message records * ERM.020.L1.05. Lift hold on social media records identified by scope determination * ERM.020.L1.06. Identify electronic message records and respond to satisfy an information request * ERM.020.L1.07. Export electronic message records from legacy system * ERM.020.L2.01. Convert electronic message records into acceptable formats to protect from technological obsolescence | | | | |
| **Business Actor(s)** | | | | |
| Agency personnel, Agency Records Management Staff**,** Business Process Owner, Information Systems Owner, NARA Appraisal Archivists | | | | |
| **Synopsis** | | | | |
| Once the electronic message records have been captured or have records management controls applied, the Maintenance & Use phase begins. The first process identifies how to determine the appropriate access level for electronic message records. This includes reviewing the content of a record or group of records, identifying agency personnel that need access to the record, choosing the appropriate level of access to records based on the nature of the subject, and assigning access levels to records. The next process checks the audit log of records to see what changes were made and by whom. This process includes searching for the electronic message, retrieving the audit log, identifying entries in the audit log to investigate, contacting the individual who made those changes, and asking the individual about the circumstances surrounding the changes made to the electronic message record.  The next process places holds on electronic message records identified by the scope of a litigation hold. This consists of determining the search terms and other parameters to identify the records to place on hold, searching for the records in all agency systems, identifying the records to place on hold, and placing the identified records on hold to satisfy the litigation hold. Agencies also must be able to lift litigation holds from records.  The next process starts when an agency receives an information request. Information requests may include litigation, Freedom of Information Act (FOIA), Congressional, or any other type of requests. The agency determines search terms and other parameters, searches for responsive records, and prepares the responsive records to satisfy the information request.  The last two processes detail how agencies protect ongoing access to electronic message records. The processes outline migrating electronic message records from one system to another and preventing software or hardware obsolescence. | | | | |
| **Assumptions and Dependencies** | | | | |
| 1. All predecessor events required to trigger the Initiating Event have been completed. 2. These events can be automated, semi-automated, or be executed manually. 3. All the inputs listed in each event have been created or are available for use to execute the events. 4. There is a system or repository set up to manage an agency’s electronic records. 5. The preparation of records responsive to information requests is addressed in other processes or workflows. | | | | |
| **Initiating Event** | | Electronic messages have been declared as records and captured or placed under records management control. | | |
| **ERM.020 - Electronic Message Maintenance & Use** | | | | |
| **Typical Flow of Events** | | | | |
|  | **ERM Event** | | **Input(s)** | **Output(s) / Outcome(s)** |
| **ERM.020.L1.01. Determine appropriate user access level to electronic message records** | | | | |
| **1** | Determine the content of electronic message records.  (ERM.020.010 – Access Level Management) | | * Electronic message records * Computer software | * Content of electronic message records determined |
| **2** | Identify agency personnel that need access to electronic message records.  (ERM.020.010 – Access Level Management) | | * Content of electronic message records * List of agency personnel * List of business functions | * List of agency personnel is identified |
| **3** | Choose the appropriate access level for agency personnel to electronic message records.  (ERM.020.010 – Access Level Management) | | * Identified agency personnel * List of access levels | * Level of access chosen |
| **4** | Assign appropriate access level to electronic message records.  (ERM.020.010 – Access Level Management) | | * Agency systems * Electronic message record * List of agency personnel * Chosen access level | * Electronic message record has appropriate access level assigned |
| **5** | Continually review user access levels to electronic message records and alter as appropriate.  (ERM.020.010 – Access Level Management) | | * Agency systems * Access list * List of personnel | * Identified changes to make to access list * Access list is altered * Changes to electronic message record are saved |



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| **ERM.020 - Electronic Message Maintenance & Use** | | | |
| **Typical Flow of Events** | | | |
|  | **ERM Event** | **Input(s)** | **Output(s) / Outcome(s)** |
| **ERM.020.L1.02. Manage the metadata of an electronic message record throughout the lifecycle** | | | |
| **6** | Ensure initial attribution of metadata at creation or capture of a record (ERM.020.030 – Records Maintenance) | * Agency systems * Electronic message record | * Capture metadata |
| **7** | Ensure metadata accumulates over time and is managed appropriately(ERM.020.030 – Records Maintenance) | * Agency systems * Metadata | * Metadata documenting provenance captured in agency systems |
| **8** | Ensure metadata aligns with the metadata schema in place for the records(ERM.020.030 – Records Maintenance) | * Metadata * Metadata schema | * Metadata captured in agency systems |



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| **ERM.020 - Electronic Message Maintenance & Use** | | | |
| **Typical Flow of Events** | | | |
|  | **ERM Event** | **Input(s)** | **Output(s) / Outcome(s)** |
| **ERM.020.L1.03. Ensure audit trail of an electronic message record is available to see what changes have been made to the content, metadata, or access level of an electronic message and by whom** | | | |
| **9** | Search for electronic message records in agency systems.  (ERM.020.030 – Records Maintenance) | * Agency systems | * Identified electronic message records |
| **10** | Retrieve audit trail of identified electronic message records.  (ERM.020.030 – Records Maintenance) | * Agency systems * Identified electronic message records | * Audit trail of electronic message records |
| **11** | Identify entries in audit trail to investigate further.  (ERM.020.030 – Records Maintenance) | * Agency systems * Audit trail of electronic message records | * Entries in audit trail |
| **12** | Contact individual who made changes to the identified electronic message records.  (ERM.020.030 – Records Maintenance) | * Individual who altered electronic message records | * Reason for altering electronic message records |



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| **ERM.020 - Electronic Message Maintenance & Use** | | | |
| **Typical Flow of Events** | | | |
|  | **ERM Event** | **Input(s)** | **Output(s) / Outcome(s)** |
| **ERM.020.L1.04. Place hold on electronic message records identified by scope determination** | | | |
| **13** | Validate search terms and parameters for identifying electronic message records to place on hold.  (ERM.020.030 – Litigation Hold) | * Litigation hold scope (dates, custodians, and subject/keywords) | * Identified search terms and parameters |
| **14** | Search for electronic message records in agency systems responsive to the litigation hold.  (ERM.020.030 – Litigation Hold) | * Search terms and parameters * Agency systems | * List of electronic records from executed search |
| **15** | Identify electronic message records that meet scope of litigation hold.  (ERM.020.030 – Litigation Hold) | * Search terms and parameters * Agency systems | * Electronic message records are identified to put on hold |
| **16** | Place identified electronic message records on hold in agency systems.  (ERM.020.030 – Litigation Hold) | * Identified electronic message records * Agency systems | * Identified electronic message records are placed on hold |



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| **ERM.020 – Social Media Maintenance & Use** | | | |
| **Typical Flow of Events** | | | |
|  | **ERM Event** | **Input(s)** | **Output(s) / Outcome(s)** |
| **ERM.020.L1.05. Lift hold on electronic message records identified by scope determination** | | | |
| **17** | Receive notification of litigation hold lift. (ERM.020.030 – Litigation Hold) | * Notice of litigation hold lift | * Records to have hold lifted |
| **18** | Search for identified records placed on hold.  (ERM.020.030 – Litigation Hold) | * Search terms and parameters * Agency systems | * Records with litigation hold |
| **19** | Lift the hold on identified records in agency systems  (ERM.020.030 – Litigation Hold) | * Identified litigation hold records * Agency systems | * Identified records have hold lifted |



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| **ERM.020 - Electronic Message Maintenance & Use** | | | |
| **Typical Flow of Events** | | | |
|  | **ERM Event** | **Input(s)** | **Output(s) / Outcome(s)** |
| **ERM.020.L1.06. Identify electronic message records and respond to satisfy an information request** | | | |
| **17** | Review information request.  (ERM.020.040 - Information Request) | * Information request | * Appropriate staff identified |
| **18** | Validate search terms and parameters for identifying electronic message records and search for responsive records.  (ERM.020.040 - Information Request) | * Search terms and parameters | * Identified responsive records |
| **19** | Prepare responsive records (e.g. export, review, and redact).  (ERM.020.040 - Information Request) | * Identified responsive records | * Responsive records prepared |
| **20** | Agency responds to information request.  (ERM.020.040 - Information Request) | * Redacted (if applicable) results of search | * Contact initial requestor |



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| **ERM.020 - Electronic Message Maintenance & Use** | | | |
| **Typical Flow of Events** | | | |
|  | **ERM Event** | **Input(s)** | **Output(s) / Outcome(s)** |
| **ERM.020.L1.07. Export electronic message records from legacy system for migration** | | | |
| **21** | Select electronic message records with associated metadata for export from legacy records system.  (ERM.020.040 - Information Request) | * Legacy system * Identified records for export * Associated metadata | * Record objects selected for export |
| **22** | Select appropriate export format from the legacy records system.  (ERM.020.040 - Information Request) | * Legacy system * Format export options * Record objects selected for export | * Export format selected |
| **23** | Identify export location of electronic message records.  (ERM.020.040 - Information Request) | * Legacy system * Possible export locations | * Export location identified |
| **24** | Export executed.  (ERM.020.040 - Information Request) | * Legacy system * Selected export format * Identified export location | * Record export complete |
| **25** | Perform technical analysis to ensure all electronic messages, including associated metadata, was exported successfully | * Exported records and associated metadata | * Report of technical analysis |



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| **ERM.020 - Electronic Message Maintenance & Use** | | | |
| **Typical Flow of Events** | | | |
|  | **ERM Event** | **Input(s)** | **Output(s) / Outcome(s)** |
| **ERM.020.L2.01. Convert electronic message records into acceptable formats to protect from technological obsolescence** | | | |
| **1** | Assess the formats of electronic message records for risks of technological obsolescence.  (ERM.020.040 - Information Request) | * Legacy system * Approved records schedule | * Identified records at risk needed for continued business |
| **2** | Convert electronic message records into acceptable formats until their authorized disposition date.  (ERM.020.040 - Information Request) | * Identified records needed for continued business * Acceptable formats * Agency systems | * Records converted to acceptable formats |
| **3** | Perform technical analysis to ensure all information, including associated metadata, was migrated or converted correctly.  (ERM.020.040 - Information Request) | * Converted records and associated metadata | * Report of technical analysis |
| **4** | Ensure that migration strategies address non-active electronic message records stored off-line.  (ERM.020.040 - Information Request) | * Legacy system * Non-active electronic records | * Identified process for ensuring off-line electronic records are usable throughout retention period |



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| ERM.030 – Use Case for Electronic Message Disposal | | | | |
| **Enabling Function: Records Disposal** | | | | |
| **Business Scenario(s) Covered** | | | | |
| * ERM.030.L1.01. Notify business owners of electronic message records eligible for disposal * ERM.030.L1.02. Dispose of approved electronic message records from agency systems * ERM.030.L2.01. Change the retention period of temporary electronic message records approved for disposal to accommodate an order, law, or business justification | | | | |
| **Business Actor(s)** | | | | |
| Agency Personnel, Business Process Owner, Information System Owner, Agency Records Management Staff | | | | |
| **Synopsis** | | | | |
| Once temporary electronic message records have been managed through the Maintenance & Use phase, they enter the Disposal phase. The first process starts with notifying business owners that electronic message records are eligible for disposal. This process includes determining which electronic message records have met their retention period, identifying business owners of electronic message records eligible for disposal, and notifying the business owners. The next process covers disposing of the electronic message records from the agency systems. This process consists of receiving notification from business owners that electronic message records are approved for disposal, identifying all approved records that will be disposed, notifying the Agency Records Officer of the records approved for disposal, receiving approval from the Agency Records Officer to proceed with the disposal, and disposing of the approved records from the agency systems. The last process explains how to change the retention period of temporary records to accommodate an order, law, or other business reason. This process consists of receiving a request to change the retention period, searching agency systems for the temporary records, and adjusting the retention period in those systems. | | | | |
| **Assumptions and Dependencies** | | | | |
| 1. All predecessor events required to trigger the Initiating Event have been completed. 2. These events can be automated, semi-automated, or be executed manually. 3. All the inputs listed in each event have been created or are available for use to execute the events. 4. There are no legal holds or information requests on electronic message records eligible for disposal. | | | | |
| **Initiating Event** | | Temporary electronic message records have met their retention period. | | |
| **ERM.030 - Electronic Message Disposal** | | | | |
| **Typical Flow of Events** | | | | |
|  | **ERM Event** | | **Input(s)** | **Output(s) / Outcome(s)** |
| **ERM.030.L1.01. Notify business owners of electronic message records eligible for disposal** | | | | |
| **1** | Determine electronic message records that have met their retention period and are eligible for disposal.  (ERM.030.020 – Records Disposal Approval) | | * Agency systems * Notification records have met retention period | * Identified electronic message records eligible for disposal |
| **2** | Identify business owners of electronic message records that are eligible for disposal.  (ERM.030.020 – Records Disposal Approval) | | * Identified electronic message records eligible for disposal | * Business owners of electronic message records |
| **3** | Notify business owners of electronic message records eligible for disposal and request approval.  (ERM.030.020 – Records Disposal Approval) | | * Business owners of electronic message records | * Business owners are notified |



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| **ERM.030 - Electronic Message Disposal** | | | |
| **Typical Flow of Events** | | | |
|  | **ERM Event** | **Input(s)** | **Output(s) / Outcome(s)** |
| **ERM.030.L1.02. Dispose of approved electronic message records from agency systems** | | | |
| **5** | Receive notification from business owners of electronic message records approved for disposal.  (ERM.030.030 – Records Disposal Action) | * Approval from business owners | * Identified electronic message records approved for disposal by business owners |
| **6** | Identify all approved electronic message records that will be disposed of from agency systems.  (ERM.030.030 – Records Disposal Action) | * Identified records approved for disposal | * All records approved for disposal are identified |
| **7** | Notify designated approving officials of electronic message records approved for disposal.  (ERM.030.030 – Records Disposal Action) | * Notification to designated approving officials | * Designated approving officials are notified of records approved for disposal |
| **8** | Receive approval from designated approving officials to destroy electronic message records approved for disposal by business owners.  (ERM.030.030 – Records Disposal Action) | * Notification from designated approving officials | * Approval to dispose of records by designated approving officials |
| **9** | Dispose of approved electronic message records from agency systems.  (ERM.030.030 – Records Disposal Action) | * Notification from business owners * Notification from designated approving officials * All records approved for disposal | * Approved records are disposed of from agency systems |
| **10** | Create audit log of disposed records.  (ERM.030.030 – Records Disposal Action) | * List of disposed records | * Audit trail of disposed records |



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| **ERM.030 - Electronic Message Disposal** | | | |
| **Typical Flow of Events** | | | |
|  | **ERM Event** | **Input(s)** | **Output(s) / Outcome(s)** |
| **ERM.030.L2.01. Extend the retention period of temporary electronic message records approved for disposal to accommodate an order, law, or business justification** | | | |
| **1** | Receive notification to change the retention of temporary electronic message records.  (ERM.030.030 – Records Disposal Action) | * Notification to change retention | * ARO is notified to change retention |
| **2** | Search for temporary electronic message records in agency systems that need retention period change.  (ERM.030.030 – Records Disposal Action) | * Agency systems * Search parameters | * Identified temporary records from search |
| **3** | Update retention period for temporary records.  (ERM.030.030 – Records Disposal Action) | * Identified temporary records * Agency systems | * Temporary records with updated retention periods |
| **4** | Notify business owners that retention period has changed.  (ERM.030.030 – Records Disposal Action) | * Notification to business owners | * Business owners are notified |



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| ERM.040 – Use Case for Electronic Message Transfer | | | |
| **Enabling Function Records Transfer** | | | |
| **Business Scenario(s) Covered** | | | |
| * ERM.040.L1.01. Approve transfer of permanent electronic message records to NARA * ERM.040.L1.02. Prepare electronic message records for transfer to NARA * ERM.040.L1.03. Transfer legal custody of electronic message records from agency to NARA * ERM.040.L2.01. Extend the time frame for which an agency retains legal custody of permanent electronic message records to accommodate the order, law, or business justification | | | |
| **Business Actor(s)** | | | |
| Agency Personnel, Business Process Owners of records, Information System Owner, Agency Records Management Staff**,** NARA Accessioning Archivists | | | |
| **Synopsis** | | | |
| Once electronic message records are deemed to have historical value, they are marked permanent and kept by the agency for a period specified in the agency records schedule. Once permanent electronic messages have met their retention period, the electronic message records enter the transfer phase. The permanent electronic message records must first be approved to be transferred to NARA; this includes identifying permanent electronic message records, notifying business owners of permanent electronic message records eligible for transfer, receiving approval from business owners, notifying the Agency Records Officer (ARO) of permanent electronic message records eligible for transfer, and receiving approval from the ARO to proceed with the transfer. The electronic message records must then be transferred to NARA; this process consists of identifying approved electronic message records for transfer, ensuring the records are in approved formats, exporting the records from agency systems, creating transfer documentation to accompany the transfer to NARA, and transferring the electronic message records and documentation to NARA. Lastly, the agency must dispose of the copies of transferred electronic message records once NARA confirms receipt. The agency must identify and locate copies of electronic message records, and then dispose of them from their systems. The agency may need to extend the time frame for which they retain legal custody of permanent records to accommodate an order, law, or business justification. | | | |
| **Assumptions and Dependencies** | | | |
| 1. All predecessor events required to trigger the Initiating Event have been completed. 2. These events can be automated, semi-automated, or executed manually. 3. All the inputs listed in each event have been created or are available for use to execute the events. 4. There is a system or repository set up to manage an agency’s electronic records. 5. Agency transfer documentation includes all metadata required by NARA at the time of transfer. 6. Documentation for Capstone email transfers includes mapping between individual accounts and the positions identified for permanent retention. This documentation needs to be retained and updated through the creation, maintenance and use of the records and not only at the time of transfer. 7. Electronic messages transferred to NARA are assumed to be Federal records and all non-record material has been culled. For Capstone Officials, culling should occur to the greatest extent possible. | | | |
| **Initiating Event** | | Permanent electronic message records have met their retention period. | |
| **ERM.040 - Electronic Message Transfer** | | | |
| **Typical Flow of Events** | | | |
|  | **ERM Event** | **Input(s)** | **Output(s) / Outcome(s)** |
| **ERM.040.L1.01. Approve transfer of permanent electronic message records to NARA** | | | |
| **1** | Identify permanent electronic message records to be transferred to NARA.  (ERM.040.010 – Records Transfer Eligibility) | * Agency records schedule | * Identified permanent electronic message records to transfer |
| **2** | Notify business owners of permanent electronic message records to be transferred to NARA.  (ERM.040.010 – Records Transfer Eligibility) | * Notification to business owners | * Business owners are notified of permanent records for transfer |
| **3** | Receive approval from business owners to transfer permanent electronic message records to NARA.  (ERM.040.010 – Records Transfer Eligibility) | * Notification from business owners | * Permanent electronic message records approved for transfer by business owners |
| **4** | Notify approving official of permanent electronic message records to be transferred to NARA.  (ERM.040.010 – Records Transfer Eligibility) | * Notification to approving official | * Approving official is notified of permanent electronic message records for transfer |
| **5** | Receive approval from approving official to transfer permanent electronic message records to NARA.  (ERM.040.010 – Records Transfer Eligibility) | * Notification from approving official | * Permanent electronic message records are approved for transfer by approving official |



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| **ERM.040 - Electronic Message Transfer** | | | |
| **Typical Flow of Events** | | | |
|  | **ERM Event** | **Input(s)** | **Output(s) / Outcome(s)** |
| **ERM.040.L1.02. Prepare electronic message records for transfer to NARA** | | | |
| **6** | Identify approved permanent electronic message records to be transferred to NARA.  (ERM.040.020 – Records Transfer Action) | * Agency systems | * Identified permanent electronic message records |
| **7** | Ensure permanent electronic message records are in approved formats for transfer to NARA.  (ERM.040.020 – Records Transfer Action) | * NARA transfer guidance | * Permanent electronic message records are in approved formats |
| **8** | Export permanent electronic message records from agency systems with associated metadata.  (ERM.040.020 – Records Transfer Action) | * Agency systems * Permanent electronic message records | * Permanent electronic message records are exported from agency systems |
| **9** | Create transfer documentation, including associated metadata, to accompany permanent electronic message records to NARA.  (ERM.040.020 – Records Transfer Action) | * NARA transfer guidance | * Transfer documentation |



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| **ERM.040 - Electronic Message Transfer** | | | |
| **Typical Flow of Events** | | | |
|  | **ERM Event** | **Input(s)** | **Output(s) / Outcome(s)** |
| **ERM.040.L1.03. Transfer legal custody of electronic message records from agency to NARA** | | | |
| **10** | Transfer permanent electronic message records and accompanying documentation to NARA.  (ERM.040.020 – Records Transfer Action) | * Exported permanent electronic message records * Transfer documentation | * Permanent electronic message records are transferred to NARA |
| **11** | Receive notification from NARA that permanent electronic message records have been received and legal custody has been transferred to NARA.  (ERM.040.030 – Records Transfer Completion) | * Receipt from NARA that legal custody of permanent electronic message records has been accepted | * Legal custody of permanent electronic message records is transferred to NARA |
| **12** | Identify and locate all copies of permanent electronic message records that were transferred to NARA.  (ERM.040.030 – Records Transfer Completion) | * Agency systems | * All copies of permanent electronic message records are located |
| **13** | Obtain approval from designated approving officials for disposal of agency copy of records based on current business needs and priorities, including any legal holds.  (ERM.040.030 – Records Transfer Completion) | * Notification from designated approving officials | * Concurrence from designated approving officials |
| **14** | Dispose of copies of permanent electronic message records that were transferred to NARA.  (ERM.040.030 – Records Transfer Completion) | * Agency systems | * All copies of permanent electronic message records are disposed |



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| **ERM.040 - Electronic Message Transfer** | | | |
| **Typical Flow of Events** | | | |
|  | **ERM Event** | **Input(s)** | **Output(s) / Outcome(s)** |
| **ERM.040.L2.01 Extend the time frame for which an agency retains legal custody of permanent electronic message records to accommodate an order, law, or business justification** | | | |
| **1** | Receive notification of order, law, or business justification to retain permanent electronic message records past their disposition date.  (ERM.040.040 - Permanent Records Retention Period Extension) | * Notification from business owner or ARO | * Change retention period in agency systems |
| **2** | Notify NARA in writing of need to retain electronic message records past their disposition date.  (ERM.040.040 - Permanent Records Retention Period Extension) | * Notification from ARO | * Notification to NARA |
| **3** | Receive written approval from NARA to retain electronic message records past their disposition date | * Notification to NARA | * Approval from NARA |
| **4** | Extend the retention of legal custody for permanent electronic message records.  (ERM.040.040 - Permanent Records Retention Period Extension) | * New retention input into agency systems | * Retention period changed |

