AGENDA

10:00 Opening Remarks
Laurence Brewer
Chief Records Officer, NARA

10:05 Overview of the Federal Electronic Records Modernization Initiative (FERMI)
Lisa Haralampus
Director of Policy and Outreach, NARA
NARA will discuss their Federal Electronic Records Modernization Initiative (FERMI) and how FERMI supports NARA’s Strategic Plan and all Federal agencies in the transition to a digital government.

10:15 GSA Program Update: Schedule 36 Records Management Solution
Jeffery Calhoun
MAS Branch Chief, GSA
General overview of the Multiple Award Schedules (MAS) Program, changes to the Records Management Special Item Numbers (SINs), and incorporation of NARA’s Universal Electronic Records Management (ERM) Requirements. GSA will also provide an update on its work with records management industry partners.

10:35 Review of Use Cases for Electronic Messages
Courtney Anderson
ERM Policy Analyst, NARA
Detailed review of the following three scenarios:
ERM.010.L1.02. Determine if the electronic message can be placed under records management control.
ERM.020.L1.02. Manage the metadata of an electronic message record throughout the lifecycle.
ERM.030.L1.02. Dispose of approved electronic message records.

10:55 Recorded Solution Demonstrations for Managing Electronic Messages
Ivana Henry
Business Development Director, GSA
GSA Schedule 36 SIN 51 600 Industry Partners will have the opportunity to record demos of their solutions based on the three use case scenarios described by NARA. GSA will explain how demos will be recorded and shared with Federal Agencies and how contractors can schedule the recording sessions.

11:00 Questions and Open Discussion

11:45 Closing Remarks
Laurence Brewer
Chief Records Officer, NARA
Federal Electronic Records Modernization Initiative

Lisa Haralampus
Director, Records Management Policy and Outreach
August 6, 2018
Background

• Managing Government Records Directive
  – Goal A3.1: NARA, with OMB support, will establish a Records Management Line of Business (RM LOB) as an EGov Initiative. The vision of the RM LOB initiative is to provide a government-wide, modern, cost-effective, standardized, and interoperable set of RM solutions providing common, core functionality to support records management operations in Federal agencies.

• Records Management Line of Business

• NARA Strategic Plan
  – Goal 2.4: By FY 2020, NARA will have policies and processes in place to support Federal agencies’ transition to fully electronic recordkeeping.
Federal Electronic Records Modernization Initiative

The Federal Electronic Records Modernization Initiative (FERMI) has two goals:

• To help agencies obtain electronic records management (ERM) solutions and services fitting their needs through an improved procurement process; and

• To proactively address changing trends in ERM by setting policy for new solutions and services.
FERMI Products

- Universal ERM Requirements
- ERM Federal Integrated Business Framework
- Federal Integrated Business Framework
- Use Cases for Electronic Records
- USSM/Shared Services
- GSA Schedule 36 (SIN 51 600)
Universal ERM Requirements

- High-level business needs for managing electronic records.
- Baseline ERM program requirements derived from existing NARA guidance.
- A starting point for agencies to develop system requirements.
- Records management staff works with acquisitions and IT to tailor system requirements.
- Document contains:
  - an abstract
  - list of lifecycle requirements
  - list of transfer format requirements
  - glossary.

https://www.archives.gov/records-mgmt/policy/universalermrequirements
Electronic Messages Use Cases

- Document the standard workflows.
- Identify the roles and actions for actors.
- Can be used to evaluate and demonstrate a solution’s functionality.
- Plan to incorporate the use cases into SIN 51 600 and host a Market Research Day.
GSA Schedule 36 Updates

• Two Special Item Numbers (SIN)s for records management:
  
  – SIN 51 504 is focused on Physical Records Management was updated to reflect current regulations and requirements, and
  
  – SIN 51 600 includes any solutions and/or services necessary to provide a total electronic records management solution.

• Vendors must self-certify they meet the Universal ERM Requirements to be included in SIN 51 600.
FERMI Website

https://www.archives.gov/records-mgmt/policy/fermi
GSA Schedule 36
Records Management Solutions

Jeffery Calhoun
Branch Chief, Multiple Awards Schedules (MAS) Program
recordsmanagement@gsa.gov
Also known as “Federal Supply Schedules”, “FSS”, “GSA Schedules”, or just “schedules”.

Government-wide multiple award, indefinite delivery/indefinite quantity (IDIQ) contract vehicle
  - 20 year period of performance
  - 5-year base period with three 5-year options

39 open and standing solicitations published on FedBizOpps.

Each solicitation represents a “category” of products or services.

Within each “category” there are Special Items Numbers or “SINs” that represent a smaller subset of products or services within the category (SIN 51 600 Electronic Records Management Solutions).
Allows contracting officers to utilize a simplified acquisition process through FAR Subpart 8.4 (MAS):

- **Pre-negotiated pricing, terms, and conditions**
- **Streamlined Blanket Purchase Agreements (BPAs), Contractor Teaming Arrangements (CTAs)**
- **Subcontracting plans incorporated with established goals and reporting requirements**
- **Contractors have already been vetted for performance, technical ability, and financial responsibility**
- **Contracts vetted for compliance with the Trade Acts Agreement (TAA)**
- **Schedule orders count toward small-business goals**
Under FAR Subpart 8.4 (MAS) ordering activities do not have to:

- Conduct a formal “negotiated procurement” (Source Selection Evaluation Board)
- Issue a “solicitation” for thirty days (or any other predetermined time)
- Synopsizes the requirement on FedBizOpps, unless it’s a limited sources acquisition over the Simplified Acquisition Threshold (SAT)
- Conduct in-depth past performance evaluations

Results in easier and faster contract awards!
Multiple Awards Schedules (MAS) Offering Solutions for Records Management

- **Schedule 70**
  
  *IT Services; Hardware; Software; Cloud Services*

- **Professional Services Schedule (PSS)**
  
  *Professional IT Services; Systems Design; Training; Consulting Services*

- **Schedule 36**
  
  **Total Solution for Physical & Electronic Records Management:**
  
  *Needs Assessment Services; Education & Training; Records Storage; IT Hardware & Equipment; Network Services; Litigation Support; Document Production; Document Conversion; Destruction Services; Mail Management Equipment & Services; Managed Print Services; Multifunctional Device Sales, Leasing, Maintenance & Consumables*

  Includes specific NARA guidance and standards within the solicitation.
● Previous Structure on Schedule 36:
  ● Special Item Number (SIN) 51 504 – Records Management Services
    ○ Covered both physical and electronic records management
GSA’s Records Management Solutions Just Got Better!

- Revised Structure on Schedule 36 *(effective October 1, 2017):*
  - **51 504 - Physical Records Management Solutions**
    (Currently 75 contractors awarded)
  - **51 600 - Electronic Records Management Solutions**
    (Currently 36 contractors awarded)
    - *Incorporates Universal Electronic Records Management (ERM) Requirements, attachment to the solicitation.*
    - *Vendors complete ERM Vendor Capability Certification*
    - *Universal requirements are maintained by NARA and updated in the solicitation as revisions occur.*
Vendor Certification for SIN 51 600 — Electronic Records Management Solutions

For the purposes of the Schedule 36 Solicitation (3FNJ-C1-000001-B), eleven (11) specific elements of Electronic Records Management (ERM) Services have been identified. These 11 elements are fully defined and the corresponding requirements are identified in the Universal Electronic Records Management Requirements attachment to the solicitation. These requirements have been established and are administered by the National Archives & Records Administration (NARA).

Vendors may provide any combination of the 11 elements of ERM Services; however, vendors must certify that they are capable of meeting all standards associated with the elements they propose by completing this certification. Vendors should include a completed copy of this certification in their published GSA catalog to illustrate their ERM capabilities.

[Offeror Name]
[Address]

Proposed Elements of Electronic Records Management Services:
[Select all that apply]

- Element 1 - Desktop Applications
- Element 2 - Electronic Messages
- Element 3 - Social Media
- Element 4 - Cloud Services
- Element 5 - Websites
- Element 6 - Digital Media (Photo)
- Element 7 - Digital Media (Audio)
- Element 8 - Digital Media (Video)
- Element 9 - Databases
- Element 10 - Shared Drives
- Element 11 - Engineering Drawings

[Offeror Name] hereby certifies that we are capable of meeting all standards described in Solicitation -3FNJ-C1-000001-B and the Universal Electronic Records Management Requirements attachment for each of the sections of ERM Services we have proposed, as indicated above.

Offeror (To be signed only by authorized principal, with authority to bind the undersigned contractor)

_____________________________  ___________________  ________________
Name (Printed)  Title  Date

Vendor Capability Certification

- Vendors select which of the 11 ERM elements they are capable of providing

- NARA’s Universal ERM Requirements document lists specific standards associated with each of the 11 elements

- Vendor certification illustrates vendor capabilities and demonstrates understanding of the associated standards

- Completed certification to be published on GSA e-Library as part of Contractor’s Terms & Conditions
Efficiently communicates changes in ERM universal standards to contractors and customer agencies!

As the Universal ERM Requirements document is updated by NARA, GSA will incorporate the latest version via solicitation refresh and corresponding mass modification to all Schedule 36 contracts.
Solicitation Note for SINs 51 504 & 51 600:

**NOTE:** Under this SIN, contractors are permitted to quote the appropriate combination of physical/electronic records management products, services and ancillary items from any other Schedule 36 SIN in order to provide a total solution; however the terms and conditions of the SIN under which the items are awarded must be applied.

**Example:**

Contractor A can respond to an RFQ for an ERM solution under SIN 51 600 with a combination of ERM items awarded under SIN 51 600; storage services from SIN 51 504; document conversion services under 51 506 and destruction services under 51 507.

- Sales in the total amount of the order should be reported under SIN 51 600
- The terms and conditions of the SINs under which the items were awarded must be applied
How to Participate
– Current Schedule 36 Contractors

• Submit modification request to add SIN 51 600 to your contract
  ○ Proposed pricing of ERM products/services
  ○ Updated CSP-1 form covering new items
  ○ Commercial terms and conditions (service agreements, EULAs, etc…)
  ○ ERM Vendor Capability Certification
  ○ Completed Software Terms and Conditions attachment (if proposing software)
How to Participate - Current MAS Contractors (other than Schedule 36)

- Submit a new contract proposal under Schedule 36
  - Overall process averages 4 months from submission to an award decision
  - Process may be streamlined based on vendor experience and familiarity with MAS program
Submit a new contract proposal under Schedule 36: **Schedule 36 Solicitation**

- Start with the “Read Me First” attachment
- Contact: recordsmanagement@gsa.gov

*Contract specialist will answer specific questions regarding the proposal process*
Option 1: Vendor can submit stand-alone contract proposal

- Proposing vendor responsible for negotiating and administering MAS contract.
- Proposing vendor would be responsible for submitting customer quotes, performance and administration for subsequent customer order.
Option 2: Vendor can become a supplier to an existing contractor on Schedule 36.

- Vendor would submit a Letter of Supply to Schedule 36 contract holder.
- Vendor would provide necessary documentation to contract holder.
- Schedule 36 contract holder would submit a modification request to add new vendor as a supplier.
- Schedule 36 contract holder is responsible for submitting quotes, performance and administration of orders.
Option 3: Multiple contractors utilize a Contractor Team Arrangement (CTA)

- At the order level, two or more contractors can team to provide a total solution.
- Contractor team completes a written CTA outlining responsibilities of each party.
- Each team member has privity of contract with the government, but the team can establish a CTA lead.

More Information on CTAs
Why Schedule 36 SIN 51 600

- Promote savings through the Federal Government's buying power.
- Streamlined acquisition process allows agencies to procure innovative total solutions quickly.
- Engagement with federal agencies to understand your operational requirements and leverage GSA’s established relationships with industry partners.
- Fast track review and award of new contracts onto Schedule 36 SIN 51 600.
- Leverage GSA’s Complimentary Client Advisor Services to navigate the Schedules Program.
Getting Started

- Download the Comprehensive Desk Reference
  www.gsa.gov/masdeskreference

- View the Schedule 36 Solicitation on FedBizOpps

- Find current list of contractors and their contract terms & conditions on GSA eLibrary
  www.gsaelibrary.gsa.gov

- Utilize GSA’s Electronic Request for Quotes System
  www.ebuy.gsa.gov to find or post opportunities

- Contact us at recordsmanagement@gsa.gov
Use Cases for Electronic Messages

Courtney Anderson
Records Management Policy and Program Support
August 6, 2018
ERM Federal Integrated Business Framework

- Based on USSM Federal Integrated Business Framework (FIBF)
- Identifies the key functions, activities, and capabilities
- Basis for electronic messages use cases
Electronic Messages Use Cases

- Based on Electronic Records Management Federal Integrated Business Framework (ERM-FIBF)
- Identify the roles and actions for actors.
- Can be used to evaluate and demonstrate a solution’s functionality.
- Show the ideal flow of events
• Use Cases posted to Records Express in January.

• Received 232 comments from vendors, agencies, and NARA staff.

• All comments reviewed.
Electronic Messages Use Cases

• Follow the records lifecycle
  – ERM.010 - Electronic Message Capture
  – ERM.020 - Electronic Message Maintenance and Use
  – ERM.030 - Electronic Message Disposal
  – ERM.040 - Electronic Message Transfer
Use Cases Levels

Level 1
Affects most Federal agencies and/or impacts a large transaction volume or dollar value within the Federal government

Level 2
Affects multiple Federal agencies and requires some specialized processing from the service consumer or auditor

Level 3
Affects few agencies and requires unique processing, but is mandated by legislation
Key Terms

• **Lifecycle phase** - Includes Capture, Maintenance and Use, Disposal, and Transfer

• **Electronic messages** - Includes email, instant messages, chat messages, text messages, voicemail messages, and other messages that meet the definition of Federal records.

• **Business actors** - individuals involved in each business scenarios

• **Assumptions** - a condition that exists or a condition that has been executed prior to the start of the Use Case
Selected Scenarios for Demos

- ERM.010.L1.02. Determine if the electronic message can be placed under records management control
- ERM.020.L1.02. Manage the metadata of an electronic message record throughout the lifecycle
- ERM.030.L1.02. Dispose of approved electronic message records
ERM.010.L1.02. Determine if the electronic message can be placed under records management control

**Agency Personnel**

- **Start**
  - Electronic message determined to be a record.
- **Does the electronic message match the approved formats in use at the agency?**
  - **Yes**
    - Ensure the electronic message metadata is complete.
    - Electronic message can be brought under records management control.
  - **No**
    - Can the electronic message be converted to an approved format?
      - **Yes**
        - Maintain the electronic message in place or in an approved repository.
        - Electronic message can be brought under records management control.
      - **No**
        - Ensure the metadata is complete.

**Agency Records Management Staff**

- **End**
  - Electronic message can be brought under records management control.
ERM.020.L1.02. Manage the metadata of an electronic message record throughout the lifecycle

1. **Start**
   - Review metadata automatically captured with electronic message records.

2. **Is any additional metadata required?**
   - Yes: Continue.
   - No: **End**

   - **Yes**:
     - Ensure new metadata fields are accurately captured.

3. **Review additional metadata requirements.**

   - **End**

   - **No**:
     - Associate metadata with the electronic message records and their disposition.
ERM.030.11.02 - Dispose of approved records from agency systems

**Information System Owner**
- Verify and separate all electronic message records to be disposed of from the agency systems.
- Execute disposal.
- Create audit log.
- Transmit audit log to agency RM staff and business process owners.

**Business Process Owner**
- Receive notification that eligible electronic message records will be destroyed.

**Agency Records Management Staff**
- Start
- Receive approval of electronic message records eligible for disposal.
- Notify all appropriate RM staff and business owners of electronic message records approved for disposal.
- End
Guidelines

• Vendors should consider addressing each type of electronic message in their demos, specifically email, SMS/MMS, and chat messages
• Demo for each scenario should be no more than 5 minutes with an up to 5 minute introduction (max 20 minutes)
• Will be recorded and made available on Acquisition Gateway to Federal agencies
Considerations

• Automation should be considered wherever possible.

• Describe your general approach to records management:
  – Traditional
  – Hosted
  – Embedded
  – ERMaaS
GSA Schedule 36 Electronic Records Management Solutions
Vendor Demonstrations

Ivana Henry
Business Development Director
GSA Integrated Workplace Acquisition Center (IWAC)
The intent of creating and providing these video recorded demonstrations is to assist the Federal government in conducting market research on available electronic records management solutions.

- Would provide on-demand access to visuals of solutions available under SIN 51 600
- Could assist contracting officers or the designated technical staff with developing competitive requirements.
- Would help contracting officers determine if they can reasonably expect to get the required competition for their requirement under the GSA solution.
Opportunity for SIN 51 600 Contract Holders

- Recording Opportunity would be available to Schedule 36 SIN 51 600 contract holders only (both current and new contractors as they are onboarded).

- Would complement the existing ability our contractors have to put together comprehensive and professional GSA catalogs that are posted on GSA Schedules e-Library.

- Initial recordings would be based on NARA’s Use Cases for Electronic Messages.

- As new Use Cases are developed, there would be additional opportunities.
General Guidelines for the Recordings

• Recording would be max of 20 minutes (*Demo for each scenario would be no more than 5 minutes with an up to 5 minute introduction*).

• Consider addressing each type of electronic message in the demos, specifically email, SMS/MMS, and chat messages.

• Describe your general approach to records management: Traditional, Hosted, Embedded, and ERMaaS.

• Do not compare your product or service to that of a competitor or mention competitor names in your presentation.

• Do not mention Federal or commercial customers, or include visuals that would reveal information about any customer.
• Upon finalizing the process, contractors would be notified with instructions on how to request scheduling of their demo.

• Prior to recording, contractors would need to provide the following (to minimize need for edits/re-recording):
  
  — A completed demo script template form (description of what viewer will see and hear on each scene/slide)

  — A copy of final slide deck with notes per slide that describe what the viewer will hear for each slide.

  — A signed release form (The captured recording will become the property of GSA. The contractor relinquishes all rights to ownership of the video recording of the demonstration).
• Contractor would conduct their demonstration virtually using the Adobe Connect Meeting Space platform, which would be recorded with the adobe connect built-in recording option (GSA will provide the meeting space connection).

• To limit bandwidth and other technical issues, only the vendor and government staff recording the demo, would attend.

• Recorded demo reviewed for content (appropriateness) and technical aspects (audio/video quality).

• The recorded demo will then be closed captioned to ensure it meets accessibility guidelines found in Section 508 of the Rehabilitation Act of 1973.
Proposed Recording Process - Release

- Video on Demand (will allow viewers to consume on their schedule, as opposed to having to watch live).
- Final closed captioned recordings would be uploaded to GSA’s private video channel.
- **Internal Federal Government Users Only** will access the video demos as a resource available on the GSA Acquisition Gateway.
- Hyperlinks to the Use Cases and to all available records management resources on the Acquisition Gateway will also be posted on [www.gsa.gov/recordsmanagementsolutions](http://www.gsa.gov/recordsmanagementsolutions)
Questions and Discussion

Questions for Federal Agencies:

• Would you watch these demonstrations if they are made available?
• Would there be benefits for your agency?

Questions for Industry:

• Would you take advantage of this opportunity to provide recorded demonstrations based on specific use cases?
• What are your initial thoughts on the proposed process?
• Do you have other ideas for how we can achieve the intent of the demos?

Email your input to recordsmanagement@gsa.gov