



governmentattic.org

"Rummaging in the government's attic"

Description of document: Records regarding digitization and availability of Federal Reserve Board (FRB) historical records, 2014-2015

Requested date: 17-February-2016

Released date: 20-April-2016

Posted date: 20-June-2016

Source of document: Freedom of Information Office
Board of Governors of the Federal Reserve System
20th & Constitution Avenue, NW
Washington, DC 20551
Fax: (202) 872-7565
[Online Electronic Request Form](#)

The governmentattic.org web site ("the site") is noncommercial and free to the public. The site and materials made available on the site, such as this file, are for reference only. The governmentattic.org web site and its principals have made every effort to make this information as complete and as accurate as possible, however, there may be mistakes and omissions, both typographical and in content. The governmentattic.org web site and its principals shall have neither liability nor responsibility to any person or entity with respect to any loss or damage caused, or alleged to have been caused, directly or indirectly, by the information provided on the governmentattic.org web site or in this file. The public records published on the site were obtained from government agencies using proper legal channels. Each document is identified as to the source. Any concerns about the contents of the site should be directed to the agency originating the document in question. GovernmentAttic.org is not responsible for the contents of documents published on the website.



BOARD OF GOVERNORS
OF THE
FEDERAL RESERVE SYSTEM
WASHINGTON, D. C. 20551

ADDRESS OFFICIAL CORRESPONDENCE
TO THE BOARD

April 20, 2016

Re: *Freedom of Information Act Request No. 2016-123*

This is in response to your e-mail message dated and received by the Board's Freedom of Information Office on February 17, 2016. Pursuant to the Freedom of Information Act, 5 U.S.C. § 552, you seek:

A copy of recent documents, plans, etc. describing the digitization of historical records at the Federal Reserve Board, and the extent to which these digitized records are available to the public on the FRB public website, or are not yet available online.

You may wish to know that some information concerning digitization of Board records (and information about records retention and records availability in general) is outlined on the Board's public website. See the following link:

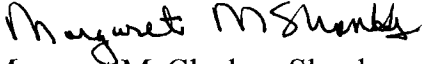
<http://www.federalreserve.gov/foia/recordsmanagement.htm>. More specifically, the Board announced information about its preparation of an inventory of historical records in a 2012 press release available here:

<http://www.federalreserve.gov/newsevents/press/other/20120530a.htm>. This announcement includes a link to the inventory's catalog.

In addition to the above-mentioned information, staff searched Board records and consulted with staff knowledgeable about the subject area, and located additional information that is responsive to your request. However, I have determined that the additional documents contain personal information that is subject to withholding and will be withheld pursuant to exemption 6 of the FOIA, 5 U.S.C. § 552(b)(6). The documents containing the exempt information have been reviewed under the requirements of subsection (b) of the FOIA, 5 U.S.C. § 552(b), and all reasonably segregable nonexempt information will be made available to you. The documents being released to you will indicate the amount of information being withheld and the applicable exemption.

Your request for information, therefore, is granted in part and denied in part for the reason stated above. The Board's Freedom of Information Office will provide you with a copy of the documents being made available to you under separate cover. If you believe that you have a legal right to the information that is being withheld, you may appeal.¹

Very truly yours,


Margaret McCloskey Shanks
Deputy Secretary of the Board

¹ Please note that an appeal must be filed (that is, received by the Board) within 10 working days of the date on which this determination was issued, or in the case of a partial grant, the date on which documents were transmitted to you, whichever is later. You may submit your appeal by mail addressed to the Freedom of Information Office, Board of Governors of the Federal Reserve System, 20th Street & Constitution Avenue NW, Washington, DC 20551; by facsimile to 202-872-7565; or electronically to FOIA-Appeals@frb.gov. Please be advised that submitting an appeal by postal mail can result in delays due to mail processing. The Board's regulations regarding FOIA appeals are located at 12 CFR § 261.13(i).

Project Plan
Task Order Number Contract number - Not Responsive

1. PROJECT TITLE

Federal Reserve Board of Governors: Record Group 82, Entry A1-1: Central Subject Files

2. OBJECTIVE

The purpose of this project is to prep, digitize, QC, and upload correspondence, reports and other documents housed by the Board of Governors of the Federal Reserve.

3. SCOPE

The activities performed under this project will include the prep, digitization, QC, and reassembly of correspondence and other original documents. All digitized items will be loaded into the Federal Reserve's FIRMA database. All actions will be performed on site at the Federal Reserve.

4. PROJECT DESCRIPTION

- 4.1** The contractor shall perform document prep, profiling, rotary scanning, QC, and reassembly per the specifications in contract number Contract number - Not Responsive which is incorporated, in its entirety, into this document by this reference.
- 4.2** The contractor shall deliver files via scans directly to the FIRMA database. The contractor will perform 100% QC on the files after they are uploaded in FIRMA. Federal Reserve will in turn complete a 10% QC on all deliverables from the contractor.

5. DELIVERABLES/DELIVERY SCHEDULE

All images will be delivered as they are scanned into FIRMA. A daily tracking log will be created by the contractor for both reporting purposes and internal use. The tracking log will include, but is not limited to, the box number and barcode of items scanned. These logs will be used to track image counts for delivery and billing purposes. Images will be delivered daily as they are uploaded into FIRMA and will be billed on a monthly basis, as acceptances from FRB allow.

6. INSPECTION AND ACCEPTANCE CRITERIA

Acceptances will occur via a format to be agreed upon by Federal Reserve and the contractor. Acceptance Reports will be generated by Federal Reserve on a regular basis to include all accepted work as final and meeting standards of quality. Once an acceptance report has been generated and delivered, the contractor will generate an invoice for the approved set of images.



BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM
WASHINGTON, DC 20551

OFFICE OF THE SECRETARY

Records Management Program

Project Proposal for Processing Chairmen Bernanke and Greenspan Files

High-Level Description

The main goal of the project is to ensure the preservation of the Board's permanent records. Due to the volume of records (approximately over 120 linear ft.) that need to be processed, the project will be split into two separate phases. The first phase will focus on processing Chairman Bernanke's files (53 Boxes) into FIRMA, the Board's electronic recordkeeping system. The estimated project completion date for the first half of the project is March 31, 2015. The second phase of the project will focus on processing Chairman Greenspan's files (67 Boxes) into FIRMA. The estimated project completion date for Phase II is to be determined.

Project Goals and Objectives

To improve control and access of these valuable permanent records for preservation purposes and to maximize efficiency when searching for records related to reference and FOIA requests.

Relationship to Records Program's Strategic Direction

This project supports the Mission, Vision and Values of Board Records as described [in this link](#).

Project Deliverables and High Level Schedule

Task Name	Duration	Start	Finish	Resource Names
Draft Project Proposal	1 day	Mon 7/28/14	Mon 7/28/14	(b) (6)
Review Project Proposal	5 days	Tue 7/29/14	Mon 8/4/14	(b) (6)
Distribute Project Proposal for Review and Comment	2 days	Tues 8/5/14	Wed 8/6/14	(b) (6)

Project Phase I Kickoff - Chairman Bernanke Files	1 day	Tue 8/5/14	Tue 8/5/14	(b) (6)
---	-------	------------	------------	---------

Project Deliverables

Project Proposal	The proposal sets the overall scope for the project, the governance structure, and is considered permission to proceed with the project.
Milestones and Schedule	A tool used to indicate the planned dates, dependencies, and assigned resources for performing activities and for meeting milestones.
Status Reports	The staff member that is the assigned the work is also responsible for reporting their weekly progress to management through an e-mail. They are also responsible for reporting any quality control or other project issues directly to their supervisor in a timely and efficient manner.
Lessons Learned and Closeout	Once all deliverables have been accepted, the project team can review and document any lessons learned and officially closeout of the project.

Project Scope

The scope of the project will be limited to processing the Board records for Chairmen Bernanke and Greenspan located on site in the file room. A future project will encompass a review of other Chairmen and Governor records held on-site and in off-site storage.

Project Organization:

- Project Sponsor: (b) (6)
- Project Manager/Lead: (b) (6)
- Project Team: (b) (6)

Project Assumptions

- OSEC will act as project owner and provide project management support.

- Management will ensure that project team members are available as needed to complete project tasks and objectives.
- The project workgroup will participate in meetings and adhere to the plan and any associated deadlines.
- Management will foster support and “buy-in” of project goals and objectives.
- The project plan and timeline may change as new information and issues are revealed.

Project Constraints

Project resources will be available during the project time period.

Project Risks

Project completion in a timely manner as resources are limited with no contingency.

Project Performance Measures

Quality Metric	Description
1	The project schedule, assigned tasks, resources and milestones are met.
2	Status reports are sent weekly to management through the project’s duration.
3	Staff is adequately trained on how to process records and reports any quality control issues in a timely and efficient manner to their supervisor.
4	New procedures conform to established Records Management policies and practices.

Change Log

Description of Change	Change Made By	Changes Approved By	Version No.	Change Date
Completion date changed from 12/30 to 3/31 due to feedback from project team.	(b) (6)		2.0	11/17/2014



BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM
WASHINGTON, DC 20551

OFFICE OF THE SECRETARY

Project Proposal Name: STAIRS Microfiche Digitization

High-Level Project Description

The purpose of this project proposal is to create work plan that identifies the steps involved with digitizing the stairs collection, as well as a baseline for measuring output to determine productivity.

Relationship to Records Program Mission Statement

This project supports all the activities of the Board's Records Program mission as described [at this link](#).

Project Objectives

Due to the high volume of records, this project will take a multi-phased approach. Success will be measured by reaching the project milestones and deliverables according to the project's schedule and proposed timeline. Throughout this process, review and vetting of the deliverables will occur. For more information see the "Milestones and/or Deliverable" section of this document.

Preliminary Project Scope Statement

The scope of this project will consist of the microfiche banking applications, exams and inspection reports on site, located in file room. There is a duplicate collection of STAIRS offsite, which will be consulted if there are any missing fiches from the file room. The component of FIRMA integration and metadata requirements will be covered in a separate project plan.

Per (b)(6), on June 22nd meeting, (b)(6) will handle the integration of the uploaded of the scanned pdfs and the metadata within FIRMA, and the possible automation of this project. This will consist of phase two of the project.

Per (b)(6), on September 1st, (b)(6) will work with (b)(6) regarding the integration of FIRMA with the scanned pdfs.

Project Organization

- Project Sponsor: (b) (6)
- Project Leads: (b) (6)
- Key Stakeholders: The Federal Reserve System
- Project Team Members: (b) (6)
- Technical Contact: (b) (6)

Project Constraints

Other projects may take priority and resources may be limited. Depending on the image on the fiche, the baseline measurements may not apply as further processing may be required in order to capture the best quality image. Due to the estimated length of time to complete the project, it will be a challenge to keep a steady pace of output, as staff turnover and training requirements may change. Staff motivation to work on project may also vary due to high volume of records, as well as estimated finish date.

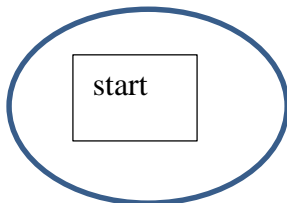
Project Risks

- Not identifying all microfiche to be scanned, and missing fiche "File Out" cards. Per the June 22nd meeting, this will be caught during a gap analysis, which will be separate from the scanning process.
- Scanner errors (skipping fiche, reordering pages, etc.,)
- As resources change or may be delayed due to shifting priorities scanning training may need to be revisited
- Software and hardware technical challenges will arise (software crashing, full memory cache).
- Not having an exact completion date
- Conflicting priorities
- Manually scanning, fixing, and qc-ing images on fiche may be time consuming
- There is limitation in the number of microfiche readers, as reference, FOIA, and guests needing to use the scanner will take priority.
- Re-work due to unknown issues that may arise
- Any updates or changes in technology or software
- The scanned pdfs will not be profiled in FIRMA right away – How does one perform qc when there is no work list? This could create back logs and confusion the status.

Project Assumptions

OSEC will act as project owner and provide project management support. The timeline of this project may be altered due to other arising priorities.

Sample Process & Workflow



Milestone & Deliverables

Put work schedule and detail here:

Milestone and/or Deliverable	Due Date
1. Project Proposal	June 11, 2015
Project testing Project Lead Starts Pilot Phase of Project	<ul style="list-style-type: none"> ▪ May 8, 2015 ▪ May 12, 2015 ▪ May 25, 2015 ▪ June 25, 2015 ▪ July 14, 2015 ▪ July 15, 2015 ▪ August 21, 2015 ▪ August 25, 2015 ▪ September 1, 2015 ▪
Draft of Project Proposal	May 12, 2015 May 13, 2015 : V2 June 26, 2015 : V3 September 1, 2015 : V4
Meet with Steve to discuss Project Proposal and make edits	June 22, 2015 September 1, 2015
Finalize and send out completed Project Proposal	
Make any additional edits to Project Proposal	
2. Create Workflow	
Create process for identifying records	
Test workflow	
Review process with Project Sponsor and Team Members	
Finalize and send out process	
Training of other staff	Several weeks or months, depending on how many people
Team Starts Project	
Check-In on continual basis	Weekly reports

Change Log

Description of Change	Change made and/or approved by:	Change Date
Reviewed proposal with (b)(6)	(b)(6) - V1	May 8, 2015
(b)(6) edited the proposal	(b)(6) - V2	May 18, 2015
(b)(6) edited the proposal	(b)(6) - V3	June 26, 2015
(b)(6) edited the proposal, including dates, scope,	(b)(6) - V4	September 1, 2015

Additional Resources:

- Identify how much microfiche there is to be scanned.
 - Determine the scope of the scanning – Is all microfiche included, or will we need to determine and differentiate between the stairs banking and the stairs subject ?
 - Determine the work flow for scanning, editing, qc-ing.
 - Determine estimated length of time for each component and total time frame.
 - Will there be 100% qc for the scanned images?
 - Reporting requirements (team to team, as well as individual to manager). Weekly to (b)(6). Report will contain how long, amount of fiche scanned, and who worked on it.
 - What will success look like for this project? How do we measure this? (per scan, by carton/drawer, etc.,)
 - Analysis of what is missing to see if or what is offsite .
 - Possible plan for destruction- create recommendation (considering that there may already be a duplicate copy of stairs offsite).
 - Create FIRMA collection for the final scanned images .
 - Metadata requirements, if any ?
- Gap analysis of missing fiche, as well as possible duplicates offsite