



Managing Records in Today's Business Environment

NARA's E-Records Initiative
The FEA Records Management Profile

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Overview

- What are the RM goals we hope to achieve?
- How can we meet these goals?
- What are the strategies to guide us?
- What's next?

Goals

NARA emphasizes three RM goals:

- Economically and effectively create and manage records necessary to meet business needs
- Maintain records long enough to protect rights and assure accountability
- Preserve all records and ensure their accessibility for as long as needed

Goals

Adapting to the current business environment requires:

- A systematic approach to managing records
- Coordinated records, information, and knowledge management strategies
- An efficient RM program that is responsive to internal and external stakeholders and customers

Goals

Other goals to focus on include:

- Address RM *early* in the life cycle
- Standardize approaches to managing records
- Embed RM into business processes and system design
- Utilize technology

Part One: E-Records Initiative

- Background
- Objectives
- Policy Initiatives
- Scheduling Approaches

Background

E-Records Plan reflects critical needs of NARA and Federal agencies

- Exponential increase of volume of e-records
- Growth of E-Gov agenda and related records
- Need to manage e-records more efficiently and effectively

Objectives

E-Records Plan Objectives

- NARA Bulletin 2006-02 Implementing Section 207(e) of E-Gov Act
- Raise profile of identifying, scheduling, and transferring e-records
- Assess and improve internal NARA work processes
- Develop new policy and scheduling approaches

Scheduling and Appraisal

- 8,525 unscheduled systems/series of records
- Represents what we know – not reality – as of October 2005
- Given NARA's current resources and rate of progress, it would take more than 80 years to complete NARA review and approval

Identify and Transfer

- NARA and agencies need to work together to identify and effect the timely transfer of permanent e-records
- As of October 2005, NARA has identified 1,805 series of e-records overdue for transfer
- Critical to success of ERA and for preserving the historically valuable records of agencies

Policy Initiatives

Proposals that will lessen agency scheduling burden and promote faster and more efficient processing of schedules

- Use GRS 20, Items 3a/3b for electronic administrative records
- Use GRS 20 (various items) for input/output e-system records
- Eliminate the need to schedule e-copies of email and word processing (GRS 20, Items 13/14)

Scheduling Approaches

General

- Three approaches to increase significantly the volume of records that can be scheduled and appraised
- General approaches incorporate NARA's Flexible Scheduling guidance

Scheduling Approaches

Approach 1

- Prepare records schedules from information found on agency web sites, IT publications, systems inventories
- Depends upon availability of information and agency willingness to *support* approach

Scheduling Approaches

Approach 2

- Partner with agencies to develop schedules based on the FEA LOB approach using information collected in Approach 1
- Depends upon agencies willing to pilot and having familiarity with FEA

Scheduling Approaches

Approach 3

- Explore feasibility of GRS Item for permanent electronic systems
- Limited to systems with clear informational and evidential value
- Minimal technical information is acceptable

Part Two: Records Management Profile

- NARA Bulletin 2006-03 Availability of Federal Enterprise Architecture (FEA) RM Profile, released December 23, 2005

<http://www.archives.gov/records-mgmt/bulletins/2006/2006-03.html>

- Developed by NARA and industry partners BAH and SRA and released in December 2005
- FY 2006 focus is pilot implementation

Defining the RM Profile

- A framework for embedding records management into IT governance and development processes
- A resource to guide integrating records management seamlessly into agency business processes, enterprise architectures, and information systems

RM Profile Objectives

- 1. Establish a common Government-wide framework for identifying records management requirements.**
- 2. Identify records management issues and requirements and link them to their implementing technologies and business processes.**
- 3. Build records management requirements into agency IT governance processes for capital planning, enterprise architecture, business process design, and the systems development life cycle.**
- 4. Establish a concise and coherent body of records management resources that places this information in the proper context within the FEA.**

RM and the FEA

RM Resources

OMB, ISO, NARA Guidance

RM Service Components (RMSC)

DoD 5015.2-STD
NARA GPEA Guidance
NARA Transfer Instructions

DoD 5015.2 Metadata Profile

IAC White Paper

The FEA

Business Reference Model (BRM)

Agencies analyze their business processes to help identify the records they create, receive, maintain, and use.

Service Component Reference Model (SRM)

Agency use of records management service components will help automate the records management life cycle.

Technical Reference Model (TRM)

Agency use of the TRM will help identify the standards, specifications and technologies needed to support RMSC.

Data Reference Model (DRM)

Facilitate the transfer of records between RMSC and applications. Enable discovery and access by agencies and the public.

Performance Reference Model (PRM)

Agencies identify metrics and goals for records management performance and outcomes.

The RM Profile Can Help You.....

- Be proactive in identifying your records management requirements
- Incorporate these requirements at the right time and in the right place in your work processes
- Integrate your records management requirements into your SDLC and CPIC processes
- Understand the value of effective records management with 'real life' examples, hypothetical scenarios, and records management resources
- Identify and preserve the right records to ensure your agency programs are accountable to the public and other stakeholders
- Leverage the FEA to ensure your compliance with current NARA and OMB guidance
- Build structured and consistent approaches for implementing your current and future RM requirements agency-wide
- Develop a strategy for aligning your programs to the Electronic Records Management E-Government Initiatives implementation plan

Using the Profile

- RM Profile includes practical examples of how the framework might be applied
 - Integrating RM into the SDLC with specific questions to address at each stage of the process
 - Integrating RM into agency CPIC processes with questions addressing RM as part of preparing an Exhibit 300
 - Hypothetical scenarios illustrating implementation of RM Profile

Next Steps

- Partner with agencies to refine scheduling approaches
- Proceed with RM Profile pilots
- Collaborate with IT community
- Continue to produce new guidance products
- Concentrate on training

References

- NARA RM Pages

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

- Implementing E-Government Act of 2002

<http://www.archives.gov/records-mgmt/bulletins/2006/2006-02.html>

- Records Management Profile

<http://www.archives.gov/records-mgmt/bulletins/2006/2006-03.html>

Questions??

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