

Embedding Records Management into Agency Processes

The FEA Records Management Profile

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Overview

- What are the RM goals we hope to achieve?
- What are the challenges ahead?
- What are the strategies to meet these challenges?
- What's next?

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 effectively

Challenges

What are the realities of today's business environment?

- Lack of agency processes supporting distributed RIM
- Rapid technological obsolescence
- Overwhelming volume

Challenges

What are the realities of today's business environment?

- Difficulty assuring the authenticity, reliability, and integrity of records
- Ineffective implementation of RIM processes and procedures

ERPWG Barriers Report, June 2004

Strategies

The ICGI proposed 3 recommendations to address the identified barriers:

1. Support agencies through effective leadership and clear records management guidance
2. Create a Records Management Profile in the Federal Enterprise Architecture (FEA)
3. Improve accountability for RM

ICGI Recommendations Report, Dec. 2004

FEA 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 (SDLC)

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.....

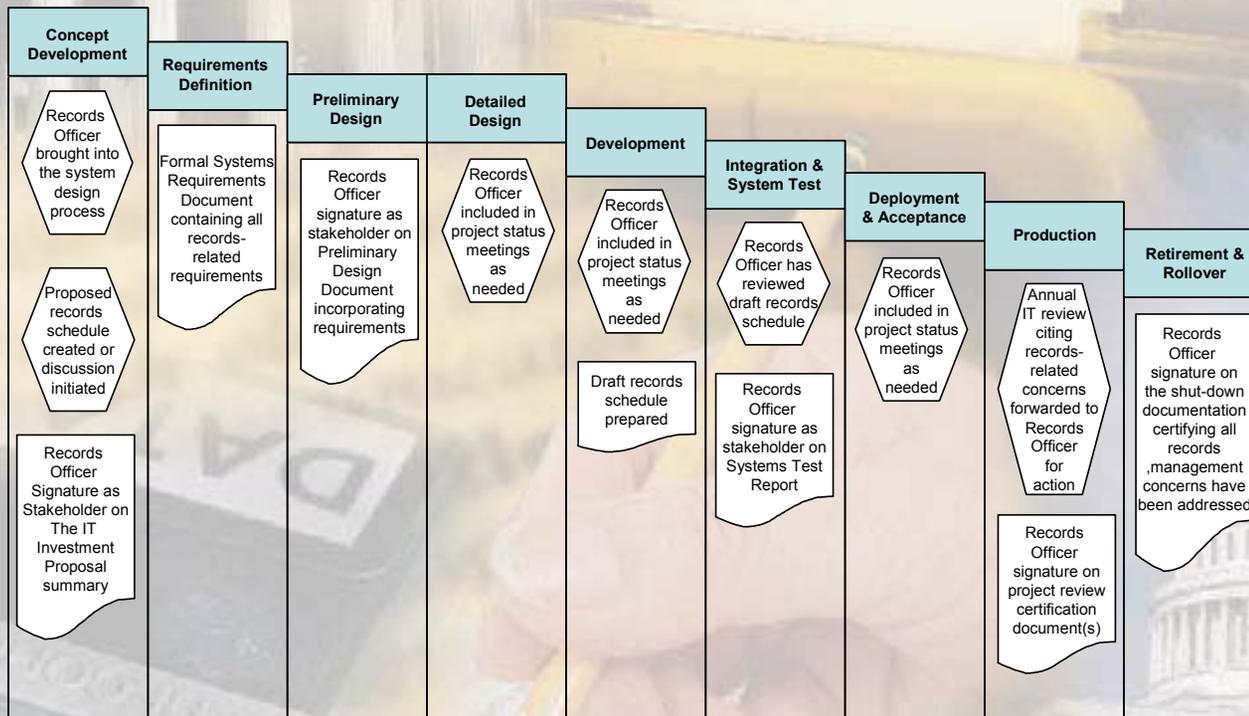
- Be proactive in identifying your records management requirements
- Incorporate these requirements at the right time and in the right place in your work processes
- Integrate your records management requirements into your SDLC and CPIC processes
- Understand the value of effective records management 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

Using the Profile: SDLC

- 3-5 questions for each phase of the SDLC

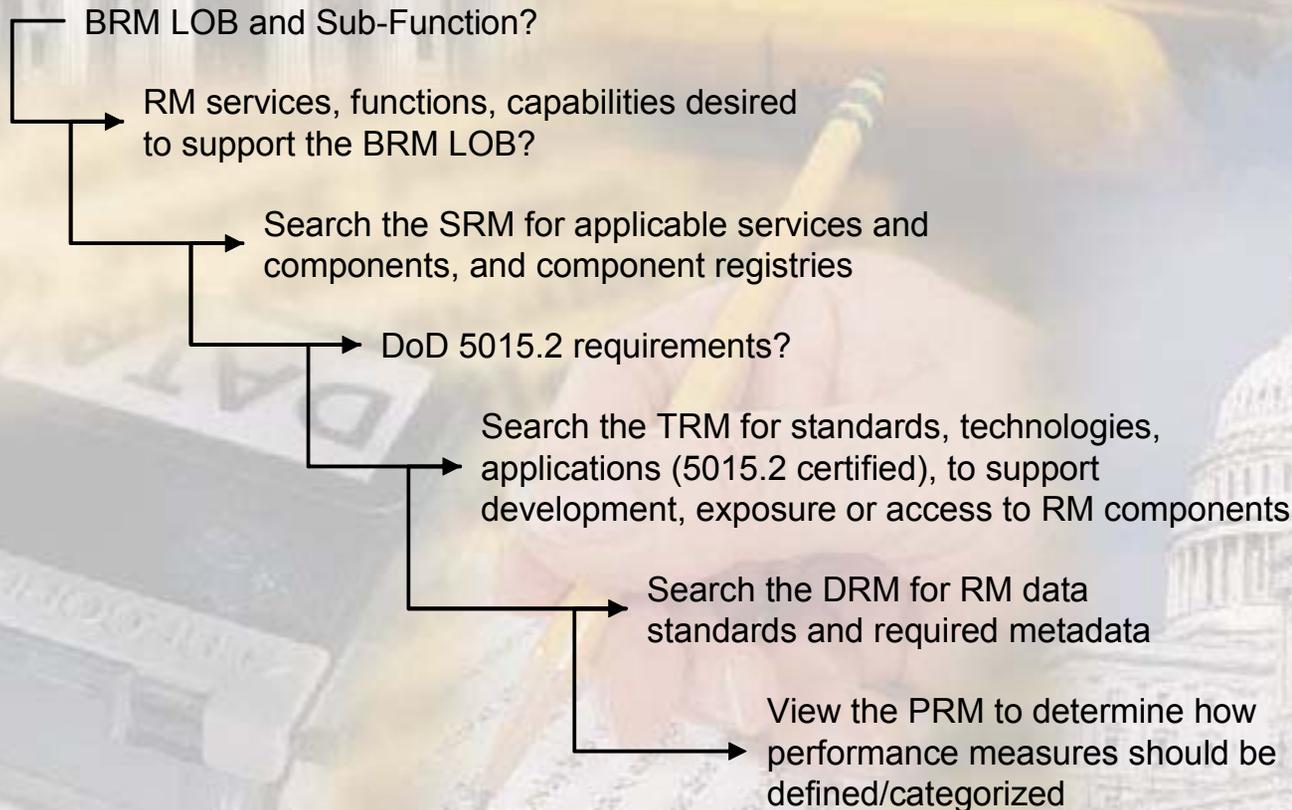


RM INTEGRATION PLAN LINK

| | | | | | | | | |
|-----------------------------|----------------------------|--------------------------|---------------------------------------|---------------------------------------|-----------------------------------|---------------------------------------|-----------------------------|---------------------------------------|
| IT Capital Planning process | Project Requirements Phase | Preliminary Design Phase | Records Officer involvement as needed | Records Officer involvement as needed | System Testing & Acceptance Phase | Records officer involvement as needed | Production/ Operation Phase | Records Officer involvement as needed |
|-----------------------------|----------------------------|--------------------------|---------------------------------------|---------------------------------------|-----------------------------------|---------------------------------------|-----------------------------|---------------------------------------|

Using the Profile: CPIC Process

- **Specific questions addressing RM by FEA Model**
- **Applicable to new and enhanced system acquisitions**



Using the Profile: Scenarios

- Three hypothetical scenarios illustrating application of Profile to 'real' agency systems and processes
 - Scenario 1: Implement RMA for life cycle RM
 - Scenario 2: Implement RM Services
 - Scenario 3: Implement RM Services with links to RMA on back-end for RM

Next Steps

- Proceed with RM Profile pilots
- Continue to produce new guidance products
- Concentrate on training
- Collaborate with IT community

References

- NARA RM Pages
<http://www.archives.gov/records-mgmt/>
- Barriers Report
http://www.cio.gov/documents/ICGI/ERPWG_Barriers.pdf
- Recommendations Report
<http://www.cio.gov/documents/ICGI/ICGI-207e-report.pdf>
- RM Profile
<http://www.archives.gov/records-mgmt/bulletins/2006/2006-03.html>
- Implementing E-Government Act of 2002
<http://www.archives.gov/records-mgmt/bulletins/2006/2006-02.html>

Questions??

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