Records Management & the Federal Enterprise Architecture

Some Issues of Current Importance to .gov Agencies

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Some Pertinent Issues

- Root Cause of Waste, Fraud & Abuse
- 36 CFR 1234.10(d)
- FEA Records Management Profile
- Metadata & Management
- Technical Standards
- FEA Data Reference Model
- NARA RM Service Components
- Infrastructure LOB

Enabling Waste, Fraud & Abuse

Purpose of Technology is to Overcome Human Frailties

- Failure to manage records effectively is the root cause of all instances of waste, fraud and abuse
  - Architecting human nature is not within our pay grade
  - But architecting our IT systems is

- Building systems that fail to create & effectively manage records having the attributes outlined in ISO 15489 quite literally enables waste, fraud & abuse
  - Attributes of a record
    - Integrity
    - Reliability
    - Authenticity
    - Usability

36 CFR 1234.10(d)

It's the Law

- Agencies are required to address records management requirements **before**
  - implementing any new IT system or
  - enhancing any existing system
- Agencies have routinely failed to do so without any direct consequence to them
- However, the consequences to the American taxpayers have been great, even catastrophic
- Thus, the questions are how much longer agency officials can continue to get away with such behavior and at what cost to the American public in the near-term as well as our longer-term competitiveness in an increasingly threatening world
- On a more positive note, the question is how the growing awareness of importance of EA can help overcome failures of the past with respect to records management

Records Management Profile

Federal Enterprise Architecture (FEA)

- ## What is a "profile"?
  - ▸ A set of metadata
- ## RM profile falls far short
  - ▸ Geospatial Profile does much better job of identifying relevant metadata standards

Metadata & Management

- In IT systems, Metadata = Management
  - ‣ Enables automation of management functions

- Little or no metadata means:
  - ‣ Little or no management
  - ‣ Records of poor and uncertain *quality*

- *How much metadata (management)?*
  - ‣ Before reaching point of diminishing returns
  - ‣ Beneficiaries not bearing costs
  - ‣ Embedded versus external metadata

Technical Standards

- ISO 15489
  - International standard for records management
- DoD Std.5015.2
  - Design requirements for records management applications
  - New revision coming soon
  - Should be included in FEA TRM
- AIIM
  - C30 Committee (Revision of TR 48) - DM/CM/RM Metadata
  - iECM Committee - interoperable ECM
    - OpenText & .gov users should participate & support
- Federal Enterprise Architecture (FEA)
  - Data Reference Model (DRM)
- Format Standards
  - PDF Archive (PDF/A)
  - Extensible Markup Language (XML)

FEA DRM

- Governmentwide profile of data and information
  - ‣ Description
  - ‣ Context
  - ‣ Sharing

- XML schema
  - ‣ Enable sharing of DRM profiles

- Discovery, access & use of records via:
  - ‣ Querying elements of metadata profile
  - ‣ Browsing context/taxonomies

- DoD 5015.2 metadata should be identified in DRM

RM Service Components

- Capture Record
- Assign Disposition
- Categorize Record
- Search Repository
- Retrieve Record
- Ensure Authenticity
- Associate Record
- Execute Disposition

http://www.archives.gov/era/pdf/rmsc0305.pdf

IT Infrastructure LOB

- Infrastructure enables interoperability of functions across agencies and programs
- Optimize the infrastructure to enable collaboration within and across agencies, sectors, and government levels
- Efficiencies realized from infrastructure investments will be recapitalized in support of agency mission
- Infrastructure investment governed to achieve agency mission and government-wide goals

http://www.whitehouse.gov/omb/egov/c-6-9-ioi.html

Questions

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