Implementing the FEA Records Management Profile

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Overview

- What is the RM Profile and why is it important?
- Embedding the RM Profile into agency IT processes: EA, SDLC, CPIC, BPD
- Implementing the RM Profile: FY 07 pilot projects
- The Challenge: Integration
- What comes next?

RM Profile: Background

- A response to a number of challenges Federal agencies face:
  - Agency records management procedures do not integrate people, policies, processes and technology well
  - Agency enterprise architectures (EA) do not systemically address records management requirements
  - Agency planning and execution of IT investments often overlooks the value of records management (RM)
  - Systems are often funded, designed and implemented without adequate thought about how those records will be managed over their entire lifecycle

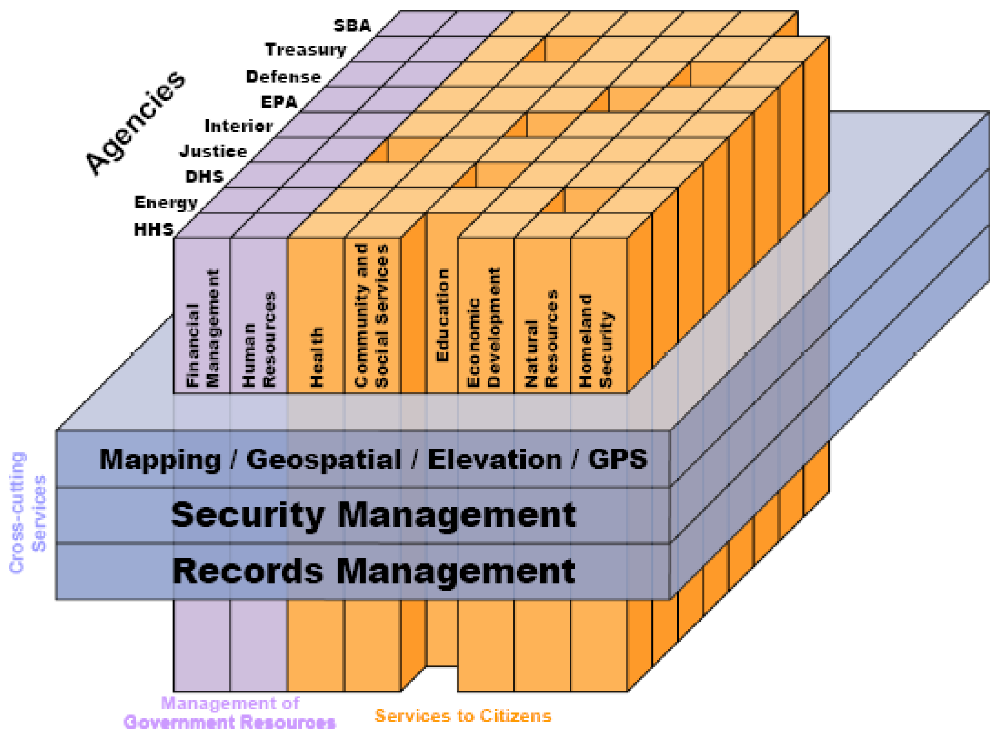
The RM Profile is . . .

- A cross-cutting framework in the five FEA Reference Models
- Designed to help decision-makers define RM requirements and *systemically* and *consistently* embed RM practices into existing agency IT and business processes
- A tool to help agencies address NARA, OMB, ISO, and legislative RM requirements that will enhance agency productivity and effectiveness

RM Profile and FEA Lines of Business

E-GOV

LoBs and Services



RM Profile Objectives

- Establish a common Government-wide framework for identifying records management (RM) requirements
- Identify records management issues and requirements and link them to their implementing technologies and business processes.
- Build records management requirements into agency IT governance processes for enterprise architecture
  - Capital Planning and Investment Control (CPIC)
  - Business Process Design (BPD)
  - Systems Development Life Cycle (SDLC)
- Establish a concise and coherent body of records management resources that places RM information in the proper context within the FEA.

Defining the RM Profile

The RM Profile does not . . .

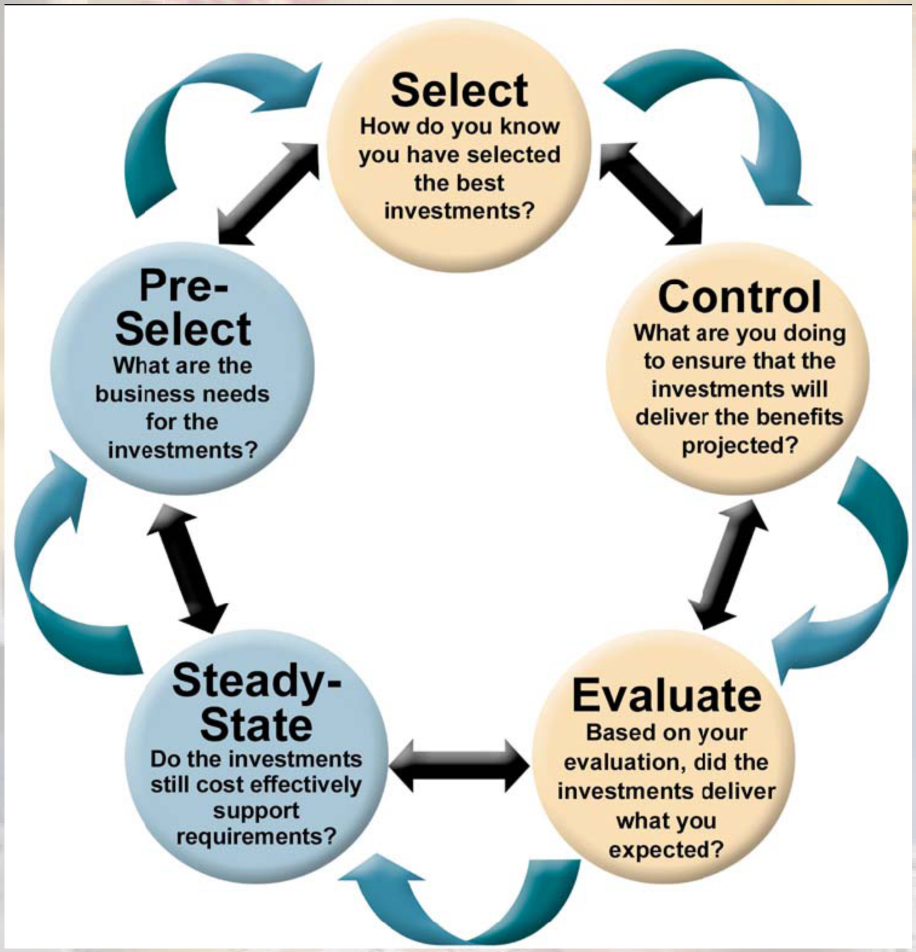
- Impose any new requirements on agency programs
- Impose significant costs as a result of implementation

Piloting the RM Profile

Purpose of the FY 07 RM Profile checklist pilots was to ...

- Help agencies embed the RM Profile methodology in CPIC and SDLC policies, business process design projects, and agency EA initiatives
- Gather data that can be used to refine the RM Profile methodology and the RM processes it is applied to
- Share a “model” that other agencies can use in their CPIC, SDLC, BPD processes

RM Profile Checklists and the Federal CPIC Process



CPIC "Pre-Select" RM Checklist Questions

- Does the proposed electronic system create data or information that can be identified as a record under 44 U.S.C. Chapter 3301?
- Does the proposed system provide for appropriate management of records over the full records lifecycle (e.g., creation and receipt, maintenance and use, and final disposition) in electronic format?
- If records management functionality is not presently part of the proposed system, how will this mandatory requirement be addressed?
- Will the proposed electronic system be compatible with other e-record systems in your bureau or department?
- Have you discussed records management and electronic recordkeeping requirements with your agency's records officer?

CPIC “Select” RM Checklist Questions

- Does the planned electronic system manage documents, create data, or store information that can be identified as records under 44 U.S.C. Chapter 3301?
- If so, will the planned electronic system manage these records in their original digital format(s) during the entire retention period?
- Are the records series to be managed by the planned electronic system appropriately scheduled under an approved agency records schedule?

CPIC "Select" RM Checklist Questions

(cont'd)

- Will (or have) all records management and recordkeeping requirements for the planned system be specified and documented in a formal business requirements document?
- Will all records management and recordkeeping requirements be verified and approved at the end of each phase of the SDLC and validated and tested at the end of the project?
- Have you discussed these questions with your agency's records officer?

CPIC “Control” RM Checklist Questions

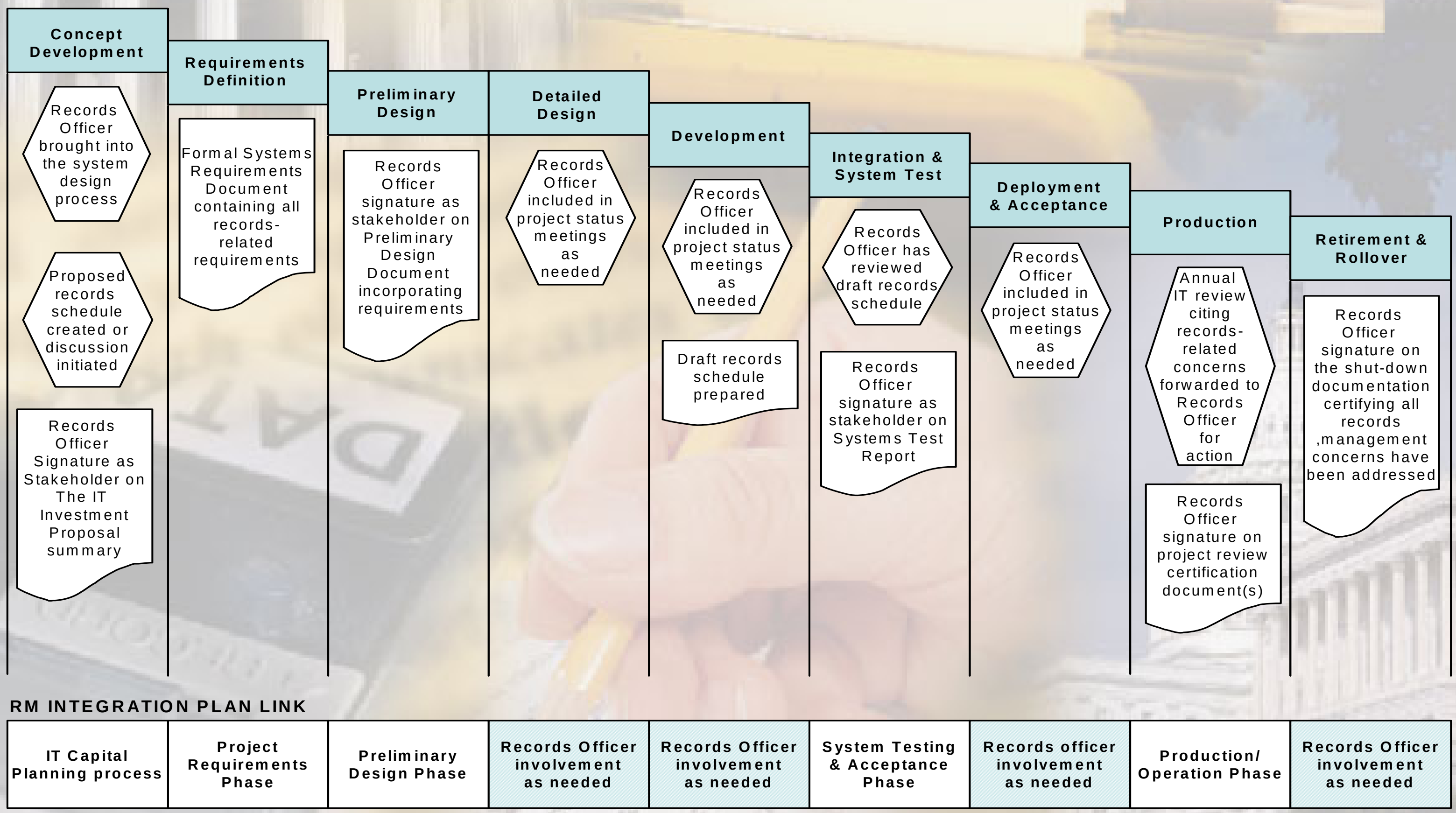
- Have you discussed records management and electronic recordkeeping requirements, risks, benefits, and performance goals with your bureau or agency records officer or manager?
- Are the records management requirements focusing on and/or helping ensure that cost, schedule, and performance goals for the investment are being met?
- Are records management requirements focusing on and/or helping ensure that risks are minimized and managed?
- Are records management requirements focusing on and/or ensuring that the investment continues to meet strategic needs?
- Are the records management requirements focusing on and/or helping ensure that projected benefits of the investment are being realized?

CPIC "Evaluate" RM Checklist Questions

- Have performance goals and user needs for records management and electronic recordkeeping been discussed during this quarter with your bureau or agency records officer or manager?
- Have the records management functionality and lessons learned been incorporated into the Post Implementation Review (PIR)?
- Has the records management functionality been analyzed to ensure that the strategic and performance goals and user/customer needs are being met as provided for in the Operational Analysis (OA) report?
- Do the records management and electronic recordkeeping functionalities need to be modified, upgraded, or replaced? If so, will a new preliminary business case need to be prepared for entry into the Pre-Select phase?

RM Checklist in the SDLC

- **4-6 key RM questions for each phase of the SDLC**



RM Checklist Questions in the SDLC

Concept Phase:

- Is this system replacing a paper-based records system?
  - Are the paper records already scheduled?
  - Can the existing dispositions be used as the basis for new dispositions for this system?
- Is this new system replacing an existing electronic system?
  - Is this existing system already scheduled?
  - Can the existing dispositions be used as the basis for new dispositions for this system?
  - Have you addressed the migration of the legacy data?
- If the business process/workflow has or will be re-designed prior to system development, will the new business process account for all changes in the format, nature, and content of existing records?
- Have you discussed these records management questions with your agency's records management officer?

RM Checklist Questions in the SDLC

Requirements Definition Phase

- Have you incorporated all records-related requirements into the system?
- Have you identified additional records requirements based on your business needs?
- Have you considered how the proposed records dispositions and retention times might impact the system's records-related requirements?
  - For records of long-term value, is there a well-documented migration strategy to ensure the integrity and continued access to these records?
- Have you incorporated all of the records-related requirements detailed in the system requirements document into the records requirements section of your draft IT Investment Proposal?
- Have you validated the requirements and developed clear measures for each?
- Have you discussed these records management questions with your agency's records management officer?

RM Checklist for Business Process Design Projects

- Records management staff help develop a set of specific questions about how and why each task or transaction in the "As-Is" and "To-Be" process is documented:
  - Is a record created or changed?
  - If so, who needs access to the record?
  - What restrictions should apply?
  - What should the record contain?
  - How long should it be kept?
  - Is the process governed by any laws, regulations, or professional practices?

RM Checklist for Business Process Design Projects

For each Task or Activity in the "As-Is" and "To-Be" process, ask if the transaction requires:

- Evidence of decisions or action?
- Evidence of performance?
- Compliance with applicable statutes, regulations, orders, and other directives that require business unit to create records?
- Documentation to enable business unit to protect its interests?
- Accountability for the use of resources?
- Cost-Benefit analysis?
- Risk identification and mitigation?

The RM Profile Can Help You . . .

- Be proactive in identifying your records management requirements
- Embed RM requirements in well-defined IT and FEA processes
- Incorporate RM requirements at the right time and in the right place in your agency work processes
- Identify and preserve the right records to ensure your agency programs are accountable to the public and other stakeholders
- Build systematic, consistent approaches for implementing your current and future RM requirements agency-wide

The RM Challenge: Integration

Records Management must be integrated and aligned with:

- People: RM affects Managers, Stakeholders, Users
- Processes: RM belongs in Management, Oversight, Risk, Investment, Compliance, Business Processes
- Technology: Help identify the right solution that meets business needs
- Governance: Embed RM into agency-wide IT, FEA, security, business and management policies, procedures and handbooks

NARA's Next Steps

- Continue partnering in FY 08 with agencies to apply the RM Profile
- Develop lessons learned and analyses following pilot projects and other partnerships
- Solicit new tools, and make RM Profile tools and resources available on NARA's Toolkit for Managing Electronic Records
- Advocate on all levels for support to integrate RM and ERK into agency business processes

Questions?

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NARA RM website: http://www.archives.gov/records-mgmt/

RM Profile: http://www.cio.gov/documents/RM_Profile_v1.pdf

FEA PMO: http://www.whitehouse.gov/omb/egov/a-1-fea.html