Great Lakes Wave

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Photo by Anthony Beard

Relating System Development Life Cycle & RM Requirements

By John Stewart

NARA's Records Management Profile, published in December 2005, utilizes an approach that relates records management requirements and the Federal Enterprise Architecture. This relationship is most apparent when records management requirements are incorporated into the general processes of the System Development Life Cycle (SDLC) concept, required by the CIO Council and Office of Management and Budget for standardizing IT capital investment and information system development. A work group within NARA is developing guidance for agency IT project mangers and records officers that suggests how to include records management requirements in the SDLC process.

NARA IT project managers, similar to their counterparts in many other Federal agencies, establish management requirements for project teams; and review and approve projects, project status reports, documentation, and project determination criteria. They also establish project requirements for business processes that integrate a graded approach methodology, capital planning, SDLC, identification of work products, as well as operations and maintenance of the IT infrastructure.

The Records Management Profile concentrates on the SDLC and is a general process used for analysis, design, construction, implementation, and maintenance of IT systems, and the tasks to accomplish the various phases of the process. The process phases incorporate conceptualization analysis; architectural design; coding; and system testing, implementation, and retirement. NARA's goal is to develop a check list for IT project managers to ensure that records officers are included as stakeholders and that records management issues are addressed during the system development process.

The following are examples of how the records officer might be included in the SDLC process. During the concept phase of the SDLC, the project manager should identify a records officer to address the need to integrate records management into the system. The records officer would certify that the business process records have been identified, and whether new records retention schedules should be developed. The records officer might also certify that the conceptual operations model captures all records management requirements. During the acquisition and requirements defini-

tions phase of the SDLC, the records officer would certify that both the functional requirements document (FRD) and the statement of work (SOW) capture all records management requirements. During the design phase the records officer reviews and agrees that all deliverables comply from a records management perspective. During the deployment phase the records officer would initiate the records schedule approval process, as necessary. During the production phase the records officer would review and validate records management requirements and records schedules and certify the review. When an information system is phased out, the records officer would certify the inclusion of records management closeout requirements, including records accessibility and retention in accordance with appropriate disposition requirements.

With a checklist including the suggested responsibilities for the records officer, the IT manager will ensure that sound records management practices are incorporated into the development of the agency's current and proposed IT systems.

Records storage at the Dayton Federal Records Center

Get Us on the Web!

By Galen Wilson

Did you miss a previous issue of the *Great Lakes Wave*? You can download the complete set at our newly refurbished regional web page, http://www.archives.gov/great-lakes/records-mgmt/. While you're there, check out all our new Records Management pages via these links in the left menu.

"What's New in Records Management" brings you the latest from our office, hot off the press. This is where previous *Great Lakes Wave* issues are posted. Our current training schedule is also posted here, as are upcoming events. Watch for details about our upcoming E-Records Forum in Indianapolis on August 1.

"Training" provides links to descriptions of training courses, the course schedule (both in the Great Lakes Region and nationwide), opportunity for customized training developed specific to your agency or even just your office, and NARA's certification program in records management training. Go here to register for courses, too.

"Our Services" lists ten basic ways we can assist you in solving records management problems. Included are records appraisal and scheduling, issues involving electronic records and other special media, disaster preparedness, vital records, and more. If you don't see a topic you need, click on the link at the bottom of the page to send us an e-mail and tell us what you have in mind.

"Assistance and Advice" walks you through the Targeted Assistance initiative through which we can offer free records management guidance. Check out the description of work we've already done for others and think about what we might be able to do for you.

"Resources" takes you to a selection of our own favorite "how-to" links where you can find detailed information and advice on a wide range of records management issues. It's not exhaustive by any means, but it includes some of the best quick-reference pieces out there, as well as some longer and more involved texts.

The last page in the menu, "Contact Us," will help you do just that. We hope you will.

Would you prefer to read the Great Lakes Wave online rather than in hard copy? Send an e-mail to marybelle.yeazel@nara.gov and ask to be put on our e-mail notification list for new issues. Save a tree and a postage stamp, and get the news all the quicker.

RACO West 2007 is in Kansas City!

By Joseph Suster

NARA's Fourth Annual Regional Records Administration Conference (RACO) will be held in downtown Kansas City, Missouri, on Tuesday, September 18. The site is the renown National World War I Museum at the Liberty Memorial. This year's conference theme is "RM and IT: Building the Digital Future…One Byte at a Time" and will feature a day of presentations on the latest tools, strategies, and issues in Federal information and electronic records management. Included (tentatively) will be presentations on NARA's Electronic Records Archives (ERA), IT systems and implementation issues, document conversion initiatives, and case studies of select Federal agency electronic records repositories.

Since 2004, NARA has presented a regional counterpart to the Records Administration Conference held each May in Washington, DC, and which is primarily attended by agency headquarters records managers. These "RACO West" presentations offer agency records personnel working in the field an unique opportunity to learn about the latest policies and trends in Federal records management without having to travel to Washington. Participants are also able to visit informational booths and kiosks and personally network with members of NARA's National Records Management Program.

Online registration for RACO West 2007 is now available at www.archives.gov/records-mgmt, just click on "What's New!" The registration fee, which includes lunch, is $100. For additional registration assistance, please contact the RACO West Registrar at workshop.kansascity@nara.gov. The registrar can make arrangements to accommodate any special needs. We hope you can join us in Kansas City this September for an informative and enjoyable records management experience.

RACO West 2007
RECORDS ADMINISTRATION CONFERENCE
THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

NARA National Science Team Reviews Observational Data

By James Hurst

The NARA National Science Team has completed a revision of "Observational Data in the Physical Sciences," an appraisal topic which can be found in NARA Directive 1441, Appendix 2. The Science Team consists of NARA staff from Archives II at College Park and several regional offices and includes the author.

The revision updates appraisal considerations for scientific data gathered by Federal agencies such as the National Aeronautical and Space Administration, the National Oceanic and Atmospheric Administration, and the U.S. Geological Survey. These agencies both collect data themselves and receive data submitted by outside entities.

Two main categories of data are appraised: data taken in place and remotely sensed data pertaining primarily to space and the global environment, including the atmosphere, ocean, and land surface. The data is stored, cataloged, and distributed by multiple data centers and supports both real-time monitoring and forecasting and preservation of a historical record.

Factors favoring long-term or permanent retention include authenticity, reliability, integrity, and usability, along with uniqueness, quality, and completeness of metadata. NARA appraisers must rely on advice from scientists in assessing many of the above-mentioned attributes of data and metadata

Primary use of observational data is usually by scientists involved in collecting and initially processing the data. Non-scientific use of data may be made by farmers who use climatological data for decisions on crop selection and by engineers who use seismic data in designing critical structures such as nuclear power plants.
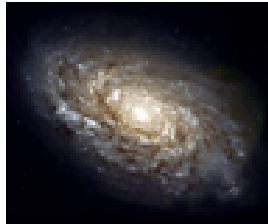
Practical applications of observational data include hurricane warnings, navigation charts, and maps of flood-prone areas. Contributing data are likely to be appraised as either long-term temporary or permanent and accumulate in high volume on multiple media.

The Science Team has highlighted several issues as part of their submission:

- Federal science centers have yet to develop comprehensive standards for determining the ultimate value of observational data.

- NARA should establish a collecting policy for these data.

- NARA should expand its knowledge base by hiring a number of archivists with a strong scientific background to work with observational data and other scientific records.

Electronic Records Forum Coming to Indianapolis

By Marybelle Yeazel

The NARA - Dayton Records Management Team will be hosting its third E-Forum on August 1 at the Rolls Royce Training Facility in Indianapolis, Indiana.

NARA - Dayton has partnered with the Greater Indianapolis Chapter of ARMA to bring this educational opportunity to the eastern portion of the Great Lakes Region. The forum will be held from 9 a.m. to 12 noon. A light continental breakfast will be provided.

The forum's topics deal with several relevant and timely issues for all record managers. A presentation on the Electronic Records Archives (ERA) and NARA's mission will start off the forum. The challenges of e-records will be discussed as well as strategies and visions for the ERA Program, and an update on the system's development. There will also be a detailed discussion on everyday file formats (Word, Excel, JPEG, etc.) and their suitability for long-term preservation and reference. A followup session on the need for a greater understanding of information technology in Federal, state, and municipal archives will lead to a discussion on the need for a proposed new type of archivist: the "Information Technology Archivist."

Our speakers are from NARA's College Park facility. Rita Cacas of the Electronics Records Archives Project Office and Gregory Lepore of the Center for Electronic Records, will share their insight and knowledge with the audience.

This exciting and informative presentation is being offered FREE of charge to those wishing to attend. If you are interested in attending, please contact Marybelle Yeazel at 937-425-0624 or marybelle.yeazel@nara.gov. The deadline to register is July 27.

Don't miss this great opportunity!

FREE FREE FREE

Upcoming Records Management Training in the Great Lakes Region:

Basic Records Operations - Dayton, OH August 7

Disaster Preparedness and Response - Dayton, OH August 8-9

KA3 - Records Scheduling - Chicago, IL August 13-14

KA4 - Records Schedule Implementation - Chicago, IL August 15-16

KA6 - Records Management & Program Development - Chicago, IL August 17

Basic Records Operations - Chicago, IL August 29

NARA's National Records Management Training Program is now supported by a learning management system (LMS). Course listings, search capability, registration, and payment are now done online.

To find out more about these courses or to register please go to: www.archives.gov/records-mgmt/training/ or contact Anthony Beard in Chicago at 773-948-9025 or Marybelle Yeazel in Dayton at 937-425-0624.

Building Partnerships for Better Records Management !

You know your office better than anyone else does. Experts at the National Archives and Records Administration know records management. Together, in partnership, we can improve records management in your agency through Targeted Assistance.

 What help is provided? This depends on your needs.

We can provide:

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*Tailored records management training
*Inventory form design
*Review of draft schedules
*Help in records disposition/transfer
*Analysis of electronic recordkeeping needs
*and much, much more

 To find out about Targeted Assistance partnership opportunities, call one of our Senior Records Analysts: John Stewart in Chicago at 773-948-9024 or Galen Wilson in Dayton at   937-425-0613.