



New Directions in Records Management

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Tuesday, October 9, 2007

Agenda

- E-Records challenges today and into the future
- E-Government Act responsibilities and requirements
- New guidance and resources to assist agencies in meeting their e-records challenges

2006 CIO Survey

- Asset and Risk Management
 - Conducted for the first time in July 2006
 - Sent to 28 members of the CIO Council
 - 81% agree or strongly agree their agency's RM program serves as a risk mitigation tool
 - 69% had attended a NARA presentation on records management
 - RM topic of highest interest is how to manage electronic records

Other context to come

- Government Accountability Office (GAO) Engagements in FY 2007 and FY 2008 on records and email management
- NARA studies of Records Management Application and email management implementation (Part 1 – late October 2007; Part 2 – FY 2008)

Challenges Today

What are the realities of today's business environment?

- Lack of agency processes supporting distributed RIM
- Rapid technological obsolescence
- Overwhelming volume
- Difficulty assuring the authenticity, reliability, and integrity of records

Challenges Today

4 specific barriers to the effective management of Government records:

1. Records and information are not managed as agency business assets
2. RM is not viewed as critical to agency mission
3. Marginal support for RM has led to a lack of training, tools, and guidance in Federal agencies
4. The RM and IT disciplines are poorly integrated within Federal agencies

Challenges Ahead

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

E-Gov Act of 2002

Section 207(e) of the 2002 Electronic Government Act requires OMB and the Archivist to work towards making recommendations to improve how Government information, including information on the Internet, is organized, preserved, and made accessible to the public

Implementing the E-Gov Act

- Federal agencies are already required to:
 - Implement processes and procedures to manage electronic records in existing systems
 - Identify and schedule electronic records in electronic information systems
 - Transfer to NARA permanent electronic records from existing or legacy systems according to approved records schedules

Implementing the E-Gov Act

- NARA Bulletin-2006-02, *Implementing the E-Gov Act*, December 15, 2005
 - Reminds agencies of their responsibilities to identify, schedule, and transfer permanent records to NARA
 - Outlines the major pieces of existing NARA policy guidance related to electronic records management and the areas in which future policy will be made
 - Specifies milestones and targets to ensure compliance with Section 207(e) of the E-Gov Act of 2002

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

Implementing the E-Gov Act

- By **September 30, 2009**, agencies must document that they are meeting their records responsibilities as outlined in section 5 of NARA Bulletin 2006-02
 - For *existing* electronic records, agencies must have NARA-approved records schedules for all records in existing information systems
 - For *new* electronic records systems, records management and archival functionality must be incorporated into the design, development, and implementation of electronic systems

Resources

Selected resources to assist you include:

- FEA Records Management Profile
- Toolkit for Managing Electronic Records
- Records management guidance
- Records management training

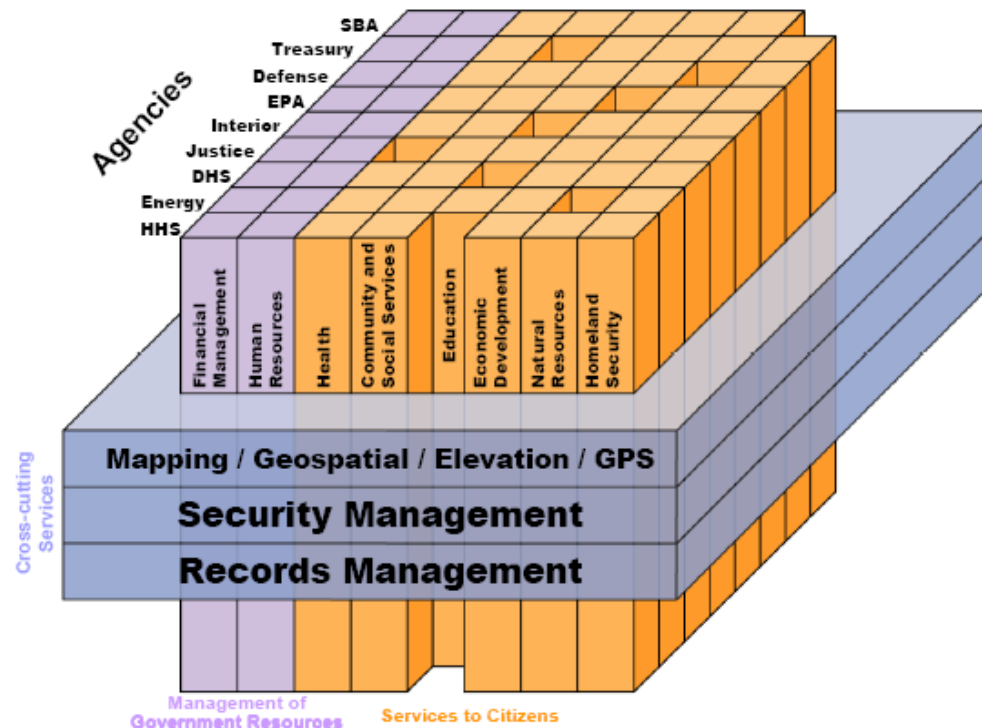
The FEA Records Management Profile

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

RM Profile and FEA Lines of Business



LoBs and Services



The RM Profile can help you...

- Be proactive in identifying your records management requirements
- Embed RM requirements in well-defined IT processes
- Incorporate RM requirements at the right time and in the right place in your 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 current and future RM requirements agency-wide

The RM Profile does not...

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

Refer to the RM Profile at <http://www.archives.gov/records-mgmt/bulletins/2006/2006-03.html> for additional background information

Toolkit for Managing Electronic Records

- Central internet portal for sharing and obtaining proven guidance
- Currently over 85 documents, interactive guidance products, web sites, etc.
 - Best practices
 - How to Guidance
 - Process models
 - Tips and techniques
 - Lessons learned
 - Presentations
 - Answers to FAQs

Web-related Guidance

- *Guidance for Managing Web Records*
- *Frequently Asked Questions about Instant Messaging*
- *Implications of Recent Web Technologies for NARA Web Guidance*

See these products and more at:

<http://www.archives.gov/records-mgmt/initiatives/erm-guidance.html>

Other E-Records Guidance – FY 2007

- Six products completed and released in FY 2007:
 - FAQ About Optical Storage Media: Storing Temporary Records on CDs and DVDs – DONE
 - Practical Scheduling Tip Sheets – DONE
 - FAQ about Selecting Sustainable Formats for Electronic Records – DONE
 - FAQ about Transferring Permanent Records in PDF/A-1 to NARA – DONE
 - FAQ about Digital Audio and Video Records – DONE
 - NARA Bulletin 2007-02, Guidance concerning the use of Enterprise Rights Management (ERM) and other encryption-related software on Federal records

NARA training program

- NARA has created a new records management training program
 - reflects new directions in Federal records management, particularly with ERM
 - ensures that NARA training is consistent in content and quality, and uses adult education techniques
 - fosters an improved level of professionalism in those managing Federal records

NARA training program

- **Knowledge Areas: Records Management core courses:**
 - Knowledge Area One - Records Management Overview
 - Knowledge Area Two - Creating and Maintaining Agency Business Information
 - Knowledge Area Three - Records Scheduling
 - Knowledge Area Four - Records Schedule Implementation
 - Knowledge Area Five - Asset and Risk Management
 - Knowledge Area Six - Records Management Program Development

NARA training program

- Free half-day Professional Courses:
 - Survival Guide for IT Professionals: Information Assurance and Records Management
 - The Case for Records Management: Issues for Federal Legal Counsel
 - Recordkeeping: A Program Manager's Survival Guide
- *Records Management for Everyone* on-line and CD-ROM course for all Federal employees

Questions or Comments

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

Thank You!