

NARA's Alphabet Soup

BPR/ERM/RMI/ERA *Setting the Context*

New York State Archives and Records Administration
December 7, 2005

"It (managing records) is like keeping an elephant for a pet. Its bulk cannot be ignored; its upkeep is terrific; and, although it can be utilized, uncontrolled it is potentially a menace."



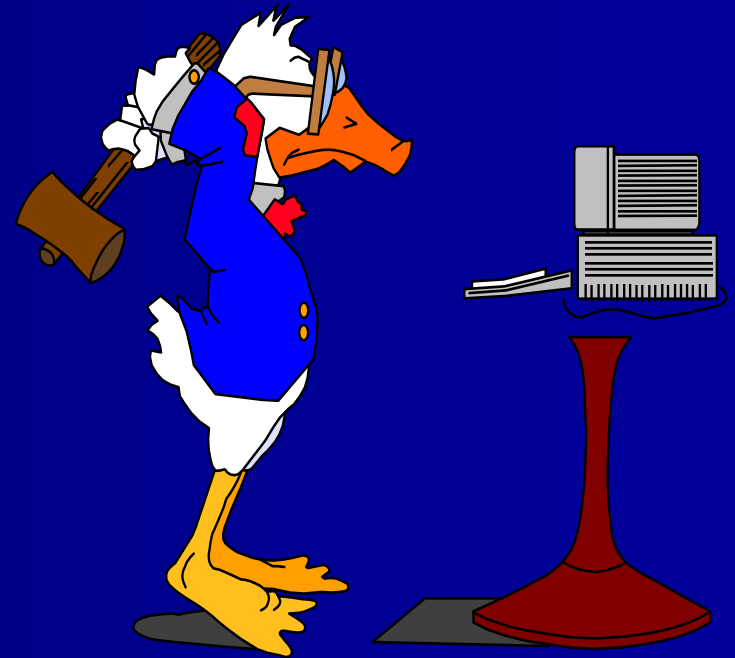
Solon J. Buck, 1943

The Challenge of Electronic Records

- Authenticity – Over Time
- Variety – 4,800+ Different Types of E-Record Formats
- Complexity – Increasingly Sophisticated Formats
- Volume – Vast Quantities of Records
- Obsolescence – Constantly Changing Technology
- User Expectations – Evolving

Today's Major Challenges

- Managing Electronic Records
- But also
 - Managing Corporate Information
 - Managing Corporate Knowledge
- Managing Records in Traditional Formats



The BPR



Business Process Reengineering

- Required by Clinger-Cohen Act for all IT systems development in the federal government
- Covers the entire array of NARA business processes across the records lifecycle
- ERA is more than a system to preserve electronic records
- ERA will be the tool that manages [most of] NARA's business processes

ERM



ERM E-Gov Initiative

ERM: Electronic Records Management

- 1 of 24 E-Gov Initiatives
- Transfer of new electronic formats to NARA
- Active participation of partner agencies
- Staged, measured approach – learn as we go

ERM Initiative

Accomplishments FY 2002-2004

- **Transfer instructions for 6 formats of permanent records**
 - Existing email messages with attachments (9/30/02)
 - Existing scanned images of textual records (12/23/02)
 - Portable Document Format (PDF) (3/31/03)
 - Digital photographic records (11/12/03)
 - Digital geospatial data records (4/9/04)
 - Web content records (9/27/04)
- **Accept transfers of permanent records on DLT media and via FTP as of 1/29/03**
- **XML schema for RM and archival metadata registered at the National Institute for Standards and Technology (NIST) completed (6/26/03)**

The RMI



Strategic Directions for Federal Records Management

AKA - RMI (Records Management Initiatives)
consists of (3/9/26/6):

- Three Goals
- Nine Strategies
- 26 Tactics
- Six Measures of Success

Detailed background materials are found at:

<http://www.archives.gov/records-mgmt/initiatives/rm-redesign-project.html>

Overall RMI Goals

In partnership with our stakeholders, to ensure that:

- **Federal agencies can economically and effectively create and manage records necessary to meet business needs,**
- **records are kept long enough to protect rights and assure accountability, and**
- **records of archival value are preserved for future generations.**

Nine Strategies

1. Mutually supporting relationships with agencies that advance agency missions and effective records management.
2. Demonstrate that effective records management adds value to business processes.
3. There is no one level to which records must be managed.
4. Agencies may choose a variety of means to manage their records.

Nine Strategies

5. NARA will focus on trustworthy records and concepts in ISO 15489 (Records Management):

- Authenticity
- Reliability
- Integrity
- Usability

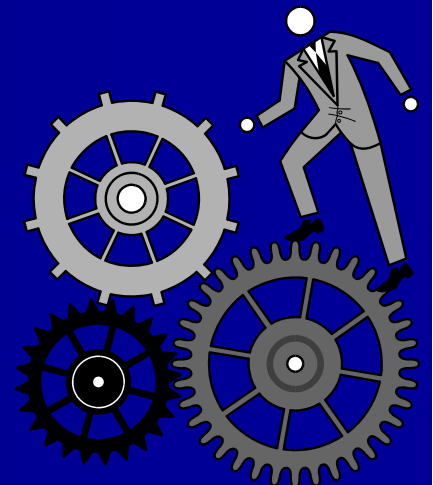
6. NARA will focus on accountability, protection of rights, and documentation of national experience.

Nine Strategies

7. NARA will prioritize based on rights and accountability; archival value; and risk to records.
8. NARA will partner with other agencies to develop, adapt, or adopt products and practices that support good records management.
9. NARA will provide leadership, in partnership with other key stakeholders, to focus agency attention on electronic records needs.

25 Tactics to Carry Out Strategies and Achieve Records Management Goals

- **Communications**
- **Guidance and Training**
- **Assistance to Agencies**
- **Oversight**
- **Business Process Reengineering**
- **Planning and Evaluation**
- **Records Management Tools**
- **Scheduling and Appraisal**
- **Records Center and Archival Activities**



Major FY 2005 Accomplishments

- ✓ Completed over 70 advocacy briefings.
- ✓ Established procedures for processing affiliated archives and affiliated relationship requests.
- ✓ Developed R&D records appraisal policy.
- ✓ Developed E-Record physical storage and document scanning capability/pilots.
- ✓ Supported development of high-level requirements for Records Management Service Components (RMSC) and the Records Management Profile for the Federal Enterprise Architecture.
- ✓ Rolled out new records management certification program and courses.
- ✓ Continued to develop integrated National Records Management Program.

How Will NARA Measure Success?

- NARA provides leadership in RM throughout the Government.
- NARA is agile in adapting to changes in IT and in the Federal recordkeeping environment.
- Agency leaders view RM as an important component of asset and risk management.

How Will NARA Measure Success?

- Federal agencies have the RM tools necessary to support their business needs.
- More people know about, use, and benefit from NARA services.
- Current and future users of records have records they need, where they are, when they need them.

Major FY 2006 Activities

- ❑ Identify, schedule, and transfer/accession more e-records/e-systems.
- ❑ Promulgate policy (media neutrality and others) to support RMI principles.
- ❑ Continue flexible schedule/implementation pilots with NASA, NOAA, GAO, PTO, and others.
- ❑ Continue GRS development (complete Aircraft Ops, PKI, A-76, CFO, EAP, Flexiplace, and others).
- ❑ Develop new National RM Training Team and National RM Faculty to deliver courses, maintain/make more robust the certification program, and improve program evaluation.
- ❑ Support ERA design and development.
- ❑ Nurture and grow integrated National Records Management Program.



NARA's Electronic Records Archives