Business Process Design As-Is and To-Be Checklists
Introduction

These business process design checklists were developed to help Federal IT staff, Records Managers, and Program Managers identify records management and recordkeeping requirements as they plan and develop new information systems. Often systems are funded, designed, and implemented without adequate thought about how records will be managed over their life cycle, which puts agency programs at greater risk of not complying with Federal records management statutes and regulations, and not meeting the public's performance and accountability expectations.

Applying these checklists to "As-Is" and "To-Be" business processes will help to embed records management into systems under development and foster a systematic, consistent approach to articulate requirements agency-wide. The checklists draw from the concepts described in the Federal Enterprise Architecture Records Management Profile, records management standard ISO 15489, and similar checklists developed by other agencies.

This tool is divided into three sections: As-Is Checklist, To-Be Checklist, and a sample workflow process diagram. The As-Is Checklist helps agencies identify where records are currently being created, while the To-Be Checklist aids agencies in seeing where records will be created in the new system. Also included is a diagram that illustrates a business process and its recordkeeping requirements. To apply these checklists agency stakeholders must have already mapped and recorded the business process workflow. See the attached process diagram for an example.

These checklists are intended to be a starting point for a more detailed discussion with agency records managers, IT staff, and program managers and staff that will help identify recordkeeping requirements in a business process redesign project. Because individual agency business processes and policies vary widely, these checklists are not designed to be used as a "one size fits all" approach to identifying recordkeeping requirements. Rather, the checklists demonstrate a widely used methodology to map business process workflow, and should serve as a model or template that individual agencies should revise or tailor to their own unique business processes, IT and systems development policies and procedures to identify their unique records management and recordkeeping requirements. For more information please contact your agency's records management point of contact at NARA at http://www.archives.gov/records-mgmt/appraisal/work-group-all.html.

As-Is Checklist: Records Management Requirements

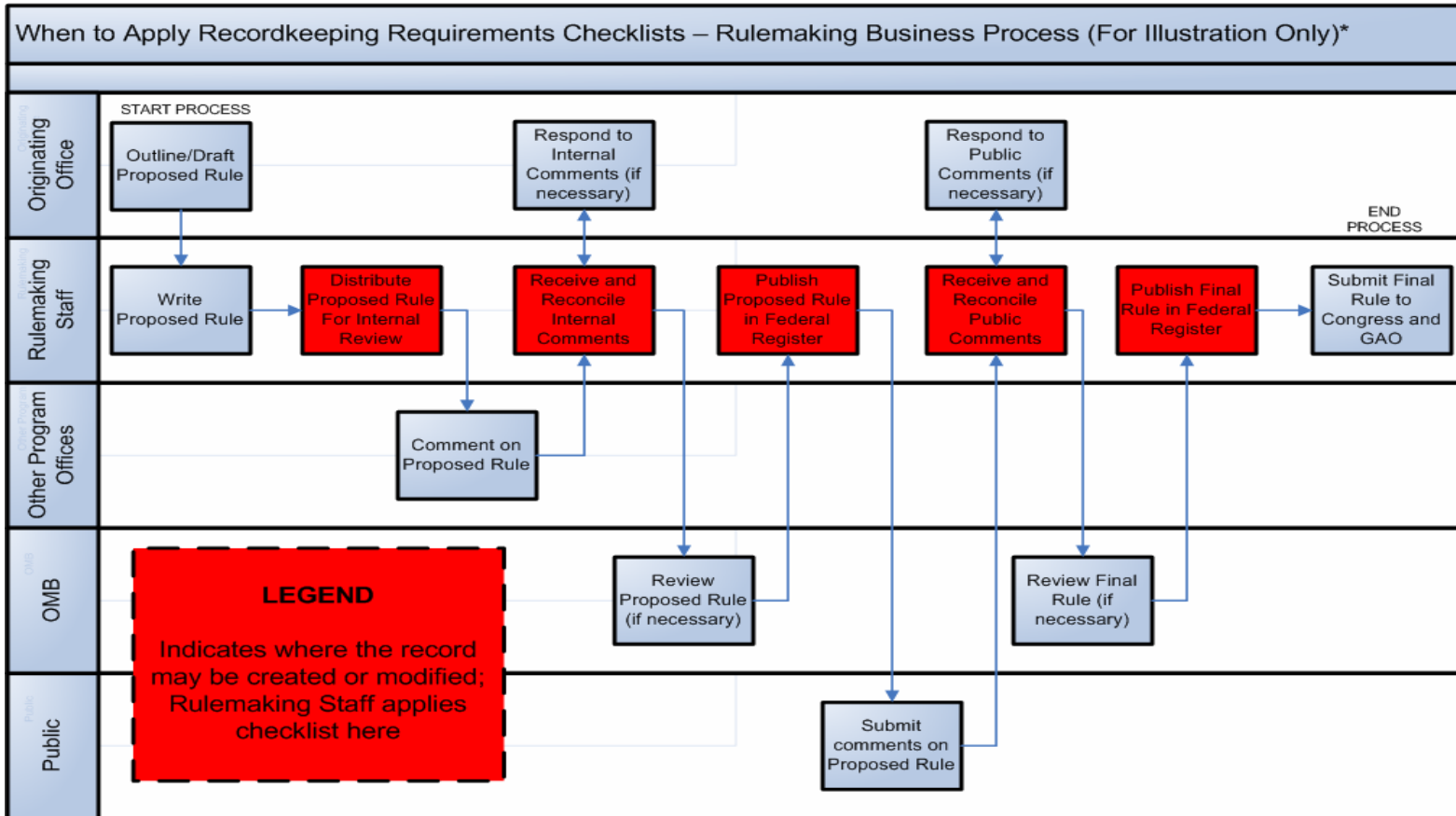| #	Recordkeeping Requirements: As-Is Business Process	Y, N, NA	Comments
1	**Have you identified each point in the current business process where information is captured or created?**		
	Are there multiple points where records or aggregations of data must be captured?		
	Have user roles, procedures, and business rules been established to capture the necessary information?		
2	**Is the content of the record fully identified and described?**		
	Does the content comply with all applicable statutes, regulations, and internal policies?		
	Do the data and metadata meet relevant standards (e.g. ISO, Dublin Core, Federal Geographic Data Committee, Directory Interchange Format) and business needs?		
3	**Is the record managed throughout its life cycle?**		
	Is the information accessible and usable for the entire life of the record?		
	Is the information protected from unauthorized access, distribution, and deletion?		
4	**Is the record's authenticity and integrity preserved throughout its life cycle?**		
	Are there quality control procedures in place to verify the completeness and trustworthiness of the records?		
	Is there a data migration plan for records with long-term value?		
5	**Has the records' life cycle been determined?**		
	Is there a NARA-approved disposition authority for the records?		
	Is there a process for applying the NARA approved disposition to the records?		

Y = Yes, N = No, NA = Not Applicable

To-Be Checklist: Records Management Requirements

#	Recordkeeping Requirements: To-Be Business Process	Y, N, NA	Comments
1	**Have you identified each point in the future business process where information will be captured or created?**		
	Are there multiple points where records or aggregations of data must be captured as a partial record, or captured prior to being declared a record?		
	Have user roles, procedures, and business rules been established to capture the necessary information?		
2	**Is the content of the record fully identified and described?**		
	Does the content comply with all applicable statutes, regulations, and internal policies?		
	Do the data and metadata meet relevant standards (e.g. ISO, Dublin Core, Federal Geographic Data Committee, Directory Interchange Format) and business needs?		
3	**Will the record be managed throughout its life cycle?**		
	Is the information accessible and usable for the entire life of the record?		
	Is the information protected from unauthorized access, distribution, and deletion?		
4	**Will the record's authenticity and integrity be preserved throughout its life cycle?**		
	Are there quality control procedures in place to verify the completeness and trustworthiness of the records?		
	Is there a data migration plan for records with long-term value?		
5	**Has the records' life cycle been determined in the future system?**		
	Has a disposition authority for the records been sought from NARA?		
	Is there a process for applying the proper disposition to the records?		

Y = Yes, N = No, NA = Not Applicable

Business Process Design Flowchart

When to Apply Recordkeeping Requirements Checklists – Rulemaking Business Process (For Illustration Only)*

Originating Office
- START PROCESS
- Outline/Draft Proposed Rule
- Respond to Internal Comments (if necessary)
- Respond to Public Comments (if necessary)
- END PROCESS

Rulemaking Staff
- Write Proposed Rule
- Distribute Proposed Rule For Internal Review
- Receive and Reconcile Internal Comments
- Publish Proposed Rule in Federal Register
- Receive and Reconcile Public Comments
- Publish Final Rule in Federal Register
- Submit Final Rule to Congress and GAO

Other Program Offices
- Comment on Proposed Rule

OMB
- LEGEND — Indicates where the record may be created or modified; Rulemaking Staff applies checklist here
- Review Proposed Rule (if necessary)
- Review Final Rule (if necessary)

Public
- Submit comments on Proposed Rule

* This diagram is greatly simplified. It does not necessarily show the full complexity of the Federal rulemaking process.