

Building Records Management into Business Processes to Improve Information Quality

ABSTRACT

Abstract Not Available

BIOGRAPHY

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Starting points

- Why are we talking about records management?
 - Challenges and objectives
- How do we embed records management into process to ensure information quality?
 - Resources and standards
- How is this approach playing in the real world?
 - Checklists and projects

2

The Challenge

- It's all about mission....or is it?
 - protecting citizens (or customers) rights
 - ensuring Government (or organizational) accountability
 - preserving our National (or organizational) history
- How can we make our agencies (or organization) more responsive, effective, and add value to agency business processes?
- How can we integrate records and information management (RIM) with business and other technology and IT processes to meet the business and legal challenges of today?
- How can we leverage existing processes to accomplish this?

3

Reality Check

- Factors affecting information quality
- Lack of agency processes supporting distributed RIM
 - Rapid technological obsolescence
 - Overwhelming volume
 - Difficulty assuring the authenticity, reliability, and integrity of records
 - Ineffective implementation of RIM processes and procedures

4

Reality Check

Factors affecting information quality

- Most Federal *records* (i.e., information, data) are “born” digital and new IT systems are developed quickly
- Managing records has not kept pace with workplace and technology changes
- Retention period of Federal records may last longer than the IT systems and technologies that created them
- IT and RM professionals seldom work together at the front end of the IT system and records lifecycles to address recordkeeping challenges
- Systems are often funded, designed and implemented without adequate thought about how those records will be managed over their entire lifecycle

5

Overcoming the Challenges

Succeeding in the current business environment requires:

- A systematic approach to managing information and records
- Coordinated records, information, and knowledge management strategies
- Emphasis on existing standards
- Promotion of lessons learned and best practices
- An efficient and nimble RIM program facilitates business and is responsive to internal and external customers

6




Reaching our Objectives

Improving information quality requires:

- Standardized approaches to managing information and records
- Building RIM requirements into business processes and system design
- Addressing these RIM requirements as *early* in the life cycle as possible

7

Key Focus Areas

People		coordination, communication
Process		efficiency, agility, interdisciplinary
Standards		recognized benchmarks supporting quality
Technology		facilitative, reflects business needs

How do we tie all this together to improve the quality of our information and the overall performance of our organizations?

8

Introducing the Records Management Profile

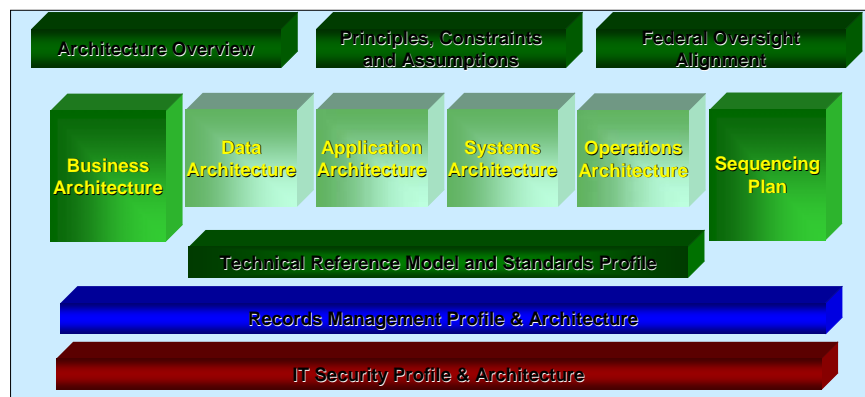
- A cross-cutting framework of the five FEA Reference Models
- Designed to help decision-makers define RIM requirements and *systemically and consistently* embed them into IT and business processes
- A tool to help agencies address NARA, OMB, ISO, and other RIM requirements
- Enhance agency productivity and effectiveness, protect rights, and assure accountability

NARA Records Management Profile and Checklists
<http://www.archives.gov/records-mgmt/initiatives/erm-guidance.html>

9

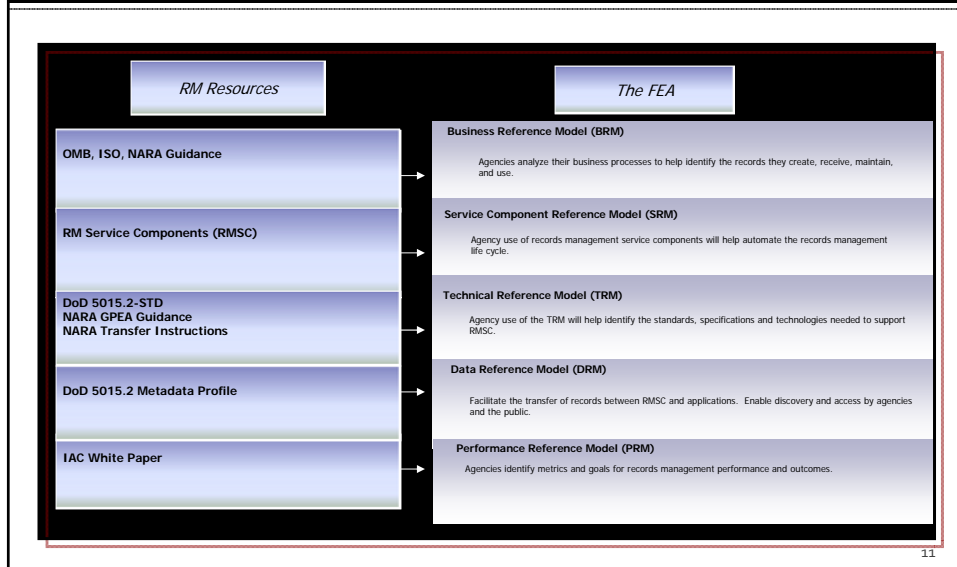
Using the RM Profile of the FEA

Leveraging the Federal Enterprise Architecture to connect RM to Business



10

Using the RM Profile of the FEA



RM Profile Objectives

- Establish a common Government-wide framework to identify and comply with records and information management requirements and standards
- Identify information management issues and business requirements and link them to their implementing technologies and business processes before IT systems are operational
- Provide a methodology (e.g., process-specific checklists) to build RIM requirements and standards into agency IT governance processes for enterprise architecture
 - **Systems Development Life Cycle (SDLC)**
 - **Capital Planning and Investment Control (CPIC)**
 - **Business Process Design (BPD)**
- Provide concise and coherent RIM resources and tools to help organizations implement the RM Profile

Leveraging Standards

RIM standards referenced in RM Profile include:

- NARA Regulations, 36 CFR Chapter XII, Subchapter B
<http://www.archives.gov/about/regulations/subchapter/b.html>
- NARA Guidance for the creation, maintenance, and disposition of electronic records
<http://www.archives.gov/records-mgmt/initiatives/erm-guidance.html>
- OMB Circular A-130, Management of Federal Information Resources
<http://www.whitehouse.gov/omb/circulars/a130/>
- DoD Electronic Records Management Application (RMA) Design Criteria Standard, version 2
<http://www.archives.gov/records-mgmt/bulletins/2003/2003-03.html>
- ISO Standard 15489: Information and documentation - Records management
- ISO 23081: Information and documentation – Records management processes – Metadata for records

13

Back to the 'real world'

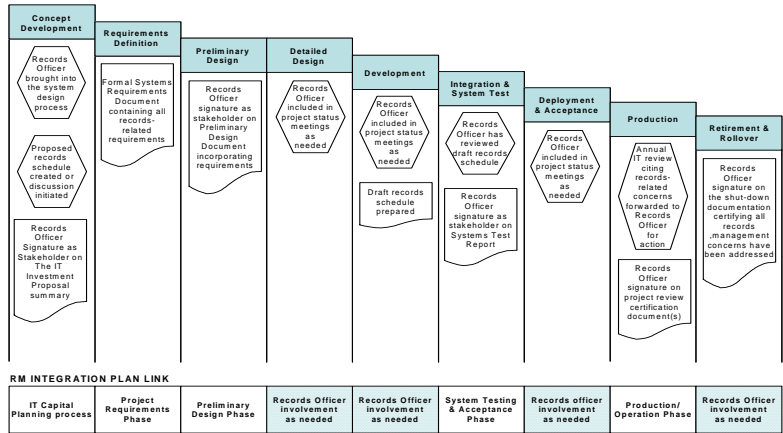
From resources and standards to practice

- RM Profile pilots and checklists
- Preserving scientific data working group

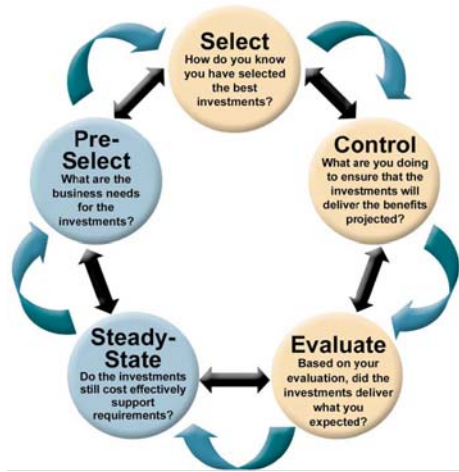
14

RMP Checklist: SDLC

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



RMP Checklist: CPIC



RMP Checklist: BPD

Records management staff develop a set of specific questions about how and why each task or transaction is documented:

- Is the process governed by any laws, regulations, or professional practices?
- 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?

17

Preserving scientific data

- Beginning in 2006, NARA began collaborating with scientific data creating agencies to develop strategies for ensuring the long term preservation of scientific research and data collections
- Focus was on building awareness of the need to manage, preserve, and make available the Nation's scientific research

Issues and concerns

- Data is voluminous, exists in a multitude of complex formats, and needs to be accessible for very long periods of time
- Need to get beyond advocacy and develop practical guidance and models for agencies
- Traditional approaches for capturing and preserving this information are increasingly ineffective

Strategies

- Establish unique partnerships with agencies and other organizations (e.g., CENDI, FEA) to identify the challenges and opportunities for preserving scientific data
- Leverage NARA expertise in digital preservation as a basis for approaching Federal agencies

Tactics

- Formalize a community of practice to develop practical tools (e.g., checklists) to facilitate the management of scientific data over time
- Exploring architecture-centric approaches to scientific data management and preservation
- Use RM Profile and related checklists (e.g., NARA 1441) to build records management into data management plans

Final Thoughts

NARA's RM Profile improves information quality by allowing agencies to:

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

Questions and Discussion

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