The Society of American Archivists: Business Archives Section

"Baking" Records Management Into the Business: NARA'S Direction and Initiatives

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Level Set
Our Reality

- **Few central** files or files police – dramatic reduction in support staff
- **Business processes** that managed paper records overtaken by technology and **not been redesigned** for this new reality
- **Investment in software** functionality that creates records **is growing**
- **Email dominates** communication and information transmission
- **Instant Messaging** increasingly used

Level Set
Our Reality

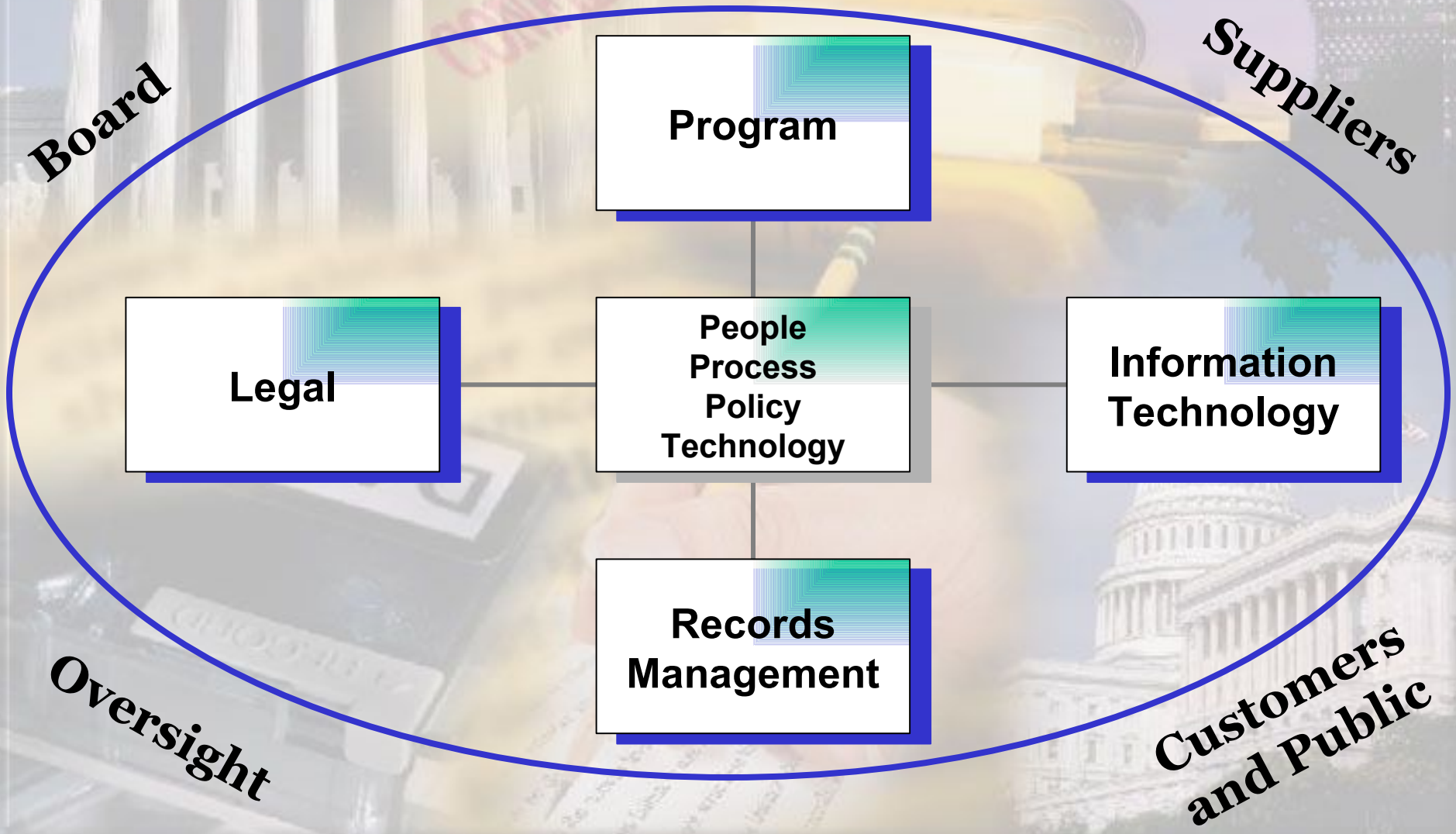
- Litigation and discovery **costs skyrocketing**
- **Compliance** requirements increasingly **demanding**
- Mission **critical records** are often **not** retrievable or **useable**
- Many records created today will likely **not be useable 3-5 years** from now
- Copies proliferate; **information conflicts** or is **unreliable**
- Record **authenticity** is **questioned**
- Records **prematurely destroyed**
- **Tools** to manage electronic records **not keeping pace**

What Do Our electronic Records Look Like?

Level Set
The "So What?"

- The way we **work has changed**.
- The way we manage the **records** of that work has **not kept pace**.
- **IT Systems** are often funded, designed and **implemented without** adequate **thought for the records** they create and how those records will be managed across time.
- **Critical** electronic **records** can be:
  - **buried** with marginally important information
  - difficult, time consuming and **expensive to find** or worse--
  - deleted, **destroyed** or overwritten before their time
  - stored in **obsolete** formats and **no longer accessible**
- **Business processes** with poorly managed records are often more **costly**, more **risky**, **harder to defend** and **slower**.
- How do we **keep pace**? Where is the **balance**?

Records Management Context: A Complex Web Of Relationships



Tightly Coupled Initiatives Around: PEOPLE, POLICY, PROCESS & TECHNOLOGY

- **Redesign** federal records management—Reduce and Simplify
- **Embed** records management into the **F**ederal **E**nterprise **A**rchitecture—Technology Blueprint
- Develop the capability to **preserve** and **provide access** to electronic records **across time**
- **Embed** records management **into** commercial **applications**
- **Partner** with providers

Embed Records Management Into Governance and Development Policy and Processes

- Technology Investment Planning and Control
- Enterprise Architecture
- Business Process Design Methods
- Solution Development Lifecycle

The Records Management Profile
A Systemic Approach To:

Aligning
Records Management
Requirements And Processes

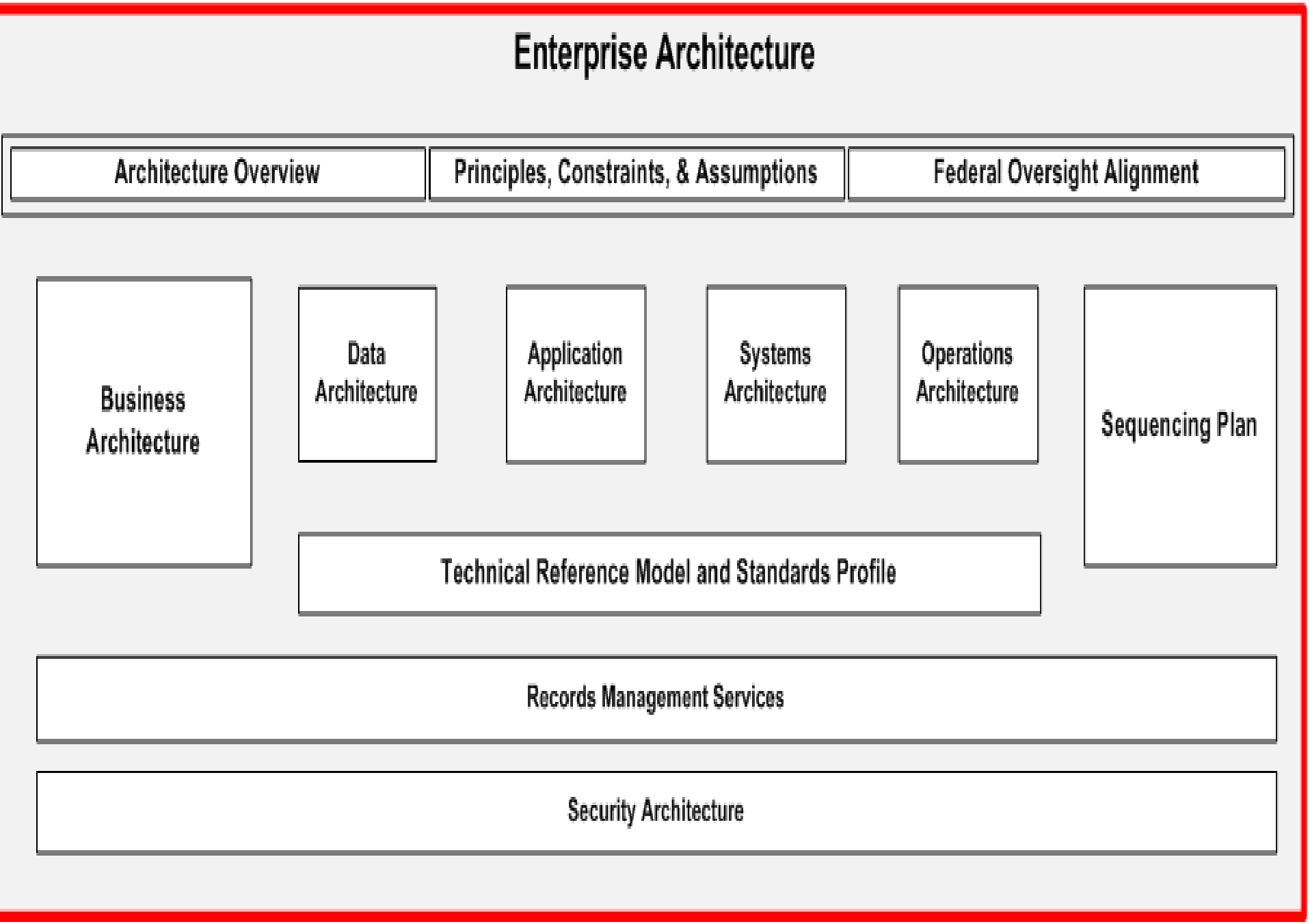
With Evolving

Business Processes
And
Technologies

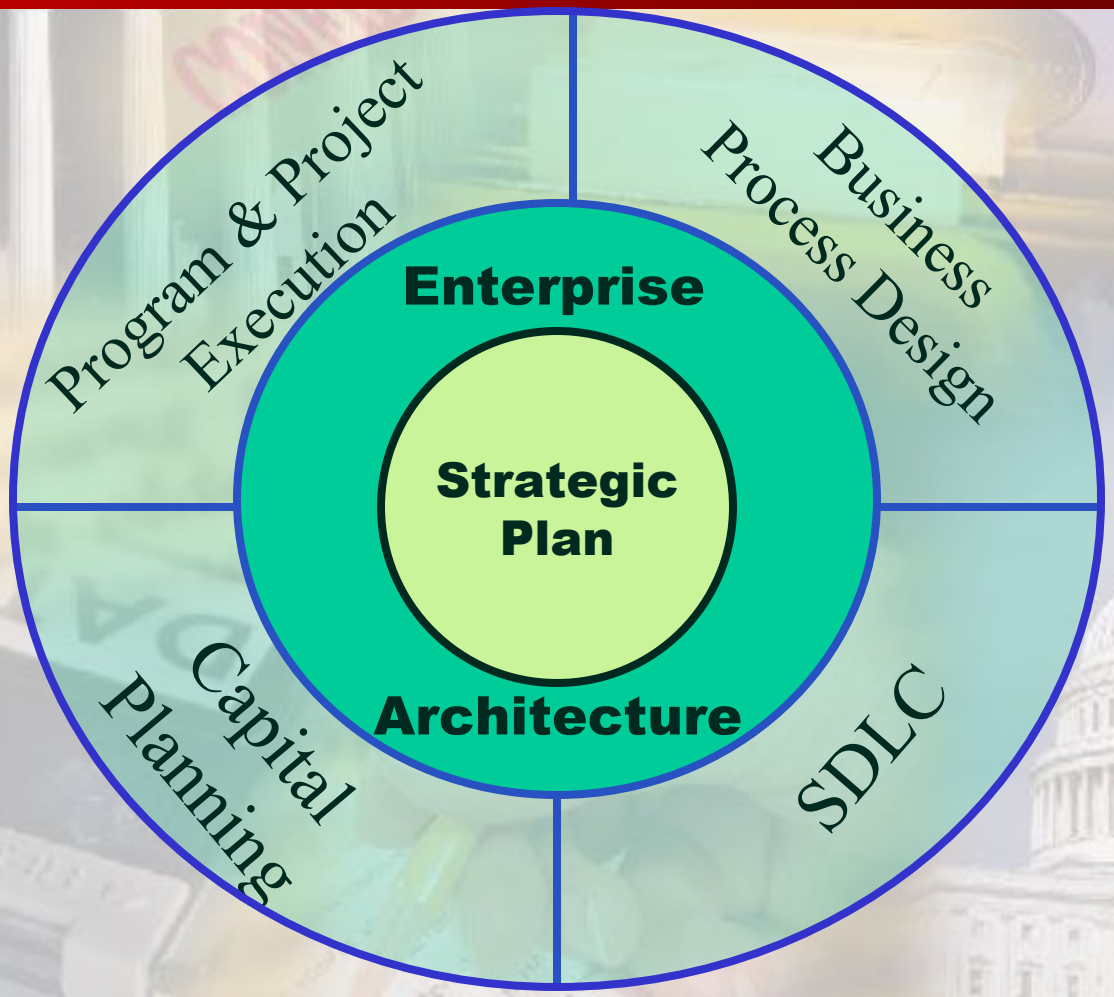
PROCESS:
The Records Management Profile

Federal Enterprise Architecture	Records Management Profile		
	Creation and Receipt	Maintenance and Use	Disposition
Business	Policies and Procedures		
Services	Components, Services, Shared Service Centers		
Data			
Technical	Information Structure, Exchange, and Access		
Performance			

Performance Metrics and Results


Enterprise Architecture
Architecture Overview
Principles, Constraints, & Assumptions
Federal Oversight Alignment
Business Architecture
Data Architecture
Application Architecture
Systems Architecture
Operations Architecture
Sequencing Plan
Technical Reference Model and Standards Profile
Records Management Services
Security Architecture

Architecture Centric Program Management A Strategic Plan Execution Roadmap



TECHNOLOGY:
Records Management Services

- Capture Record
- Establish Provenance
- Assign Category
- Establish Authenticity
- Create Case File
- Establish Disposition
- Provide Reference

The Compounding Challenge of Preserving Electronic Records

- **Authenticity** –must remain as reliable as when first created
- **Obsolescence** – constantly changing technology
- **Complexity** –complex formats and with demanding behaviors
- **Scope** – the entire federal government, plus
- **Time Frame** – from x years to “forever”
- **Accessibility** – public’s right of access to records of its government
- **Users Expectations** – users expectations continue to evolve
- **Variety** – 16,000 + different types of records
- **Volume** – Many, many billions of records

The Objective: Create a Capability That Will Ultimately

- Preserve authentically any type of electronic record,
- Created using any type of computer application,
- On any computing platform,
- From any entity in the Federal Government and any donor.
- Provide discovery and delivery to anyone with an interest and legal right of access,
- Now and for many, many generations to come

System Design Drivers

- **Evolvability**

  Obsolescence + Improved Technology + Time Frame →

- **Scalability, up and down**

  Growing Volumes + Special Needs →

- **Extensibility**

  New Data Types + Increasing Complexity →

- **Persistent Preservation**

  Authenticity + Accessibility →

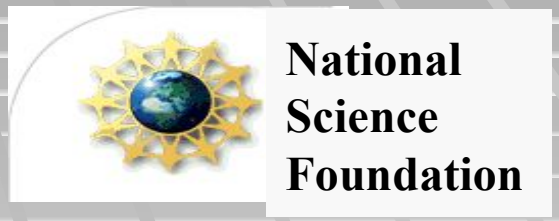
Requirements for Preserving Records

- Authenticity
- Content
- Structure
- Context
- Presentation
- Behavior

NARA's Research Partners

National Center for Supercomputing Applications

San Diego Supercomputer Center



Army Research Laboratory

Global Grid Forum

DIGITAL LIBRARY FEDERATION

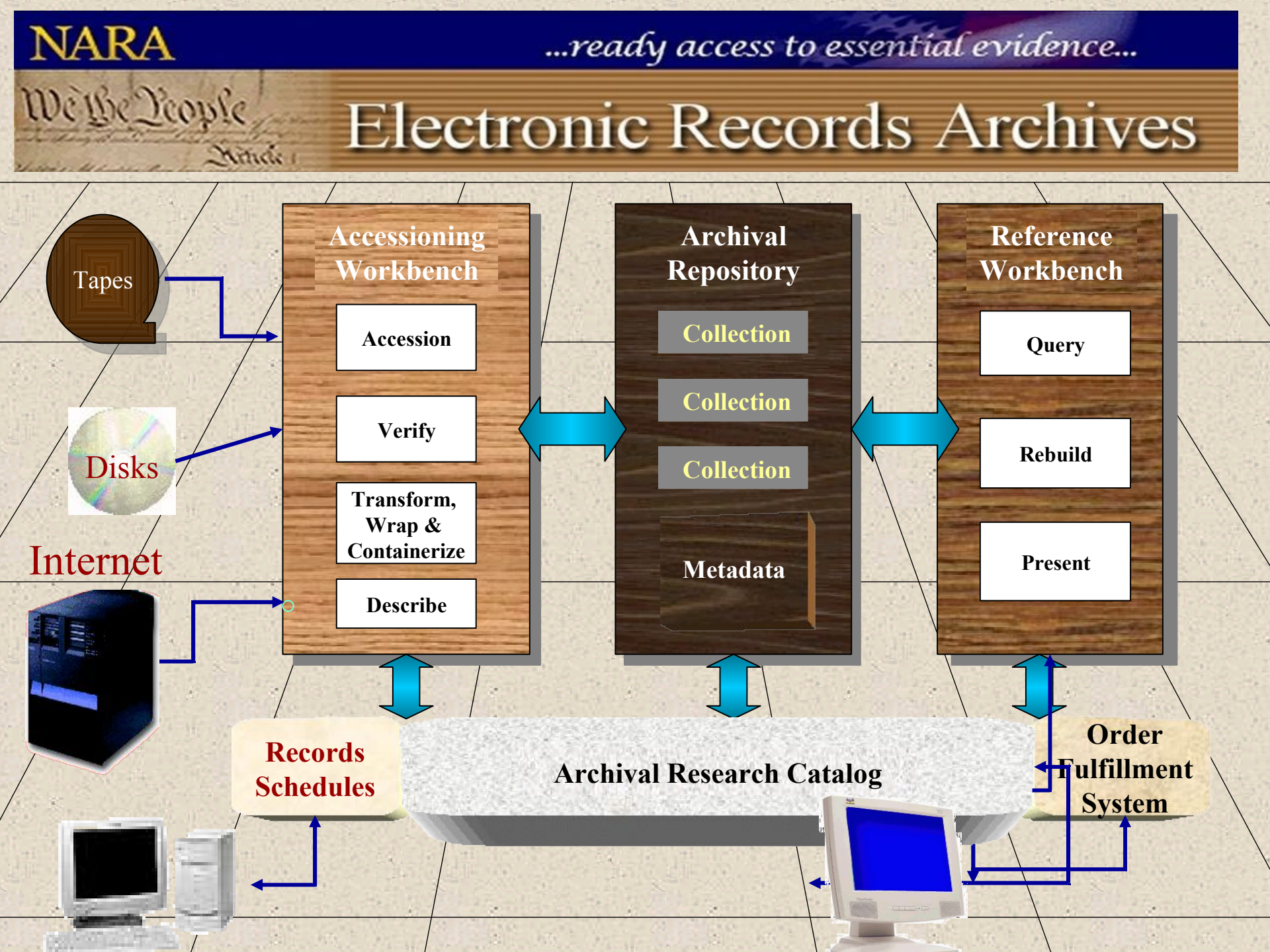
The Library of Congress

…and many other Federal Agencies and their Records Officers

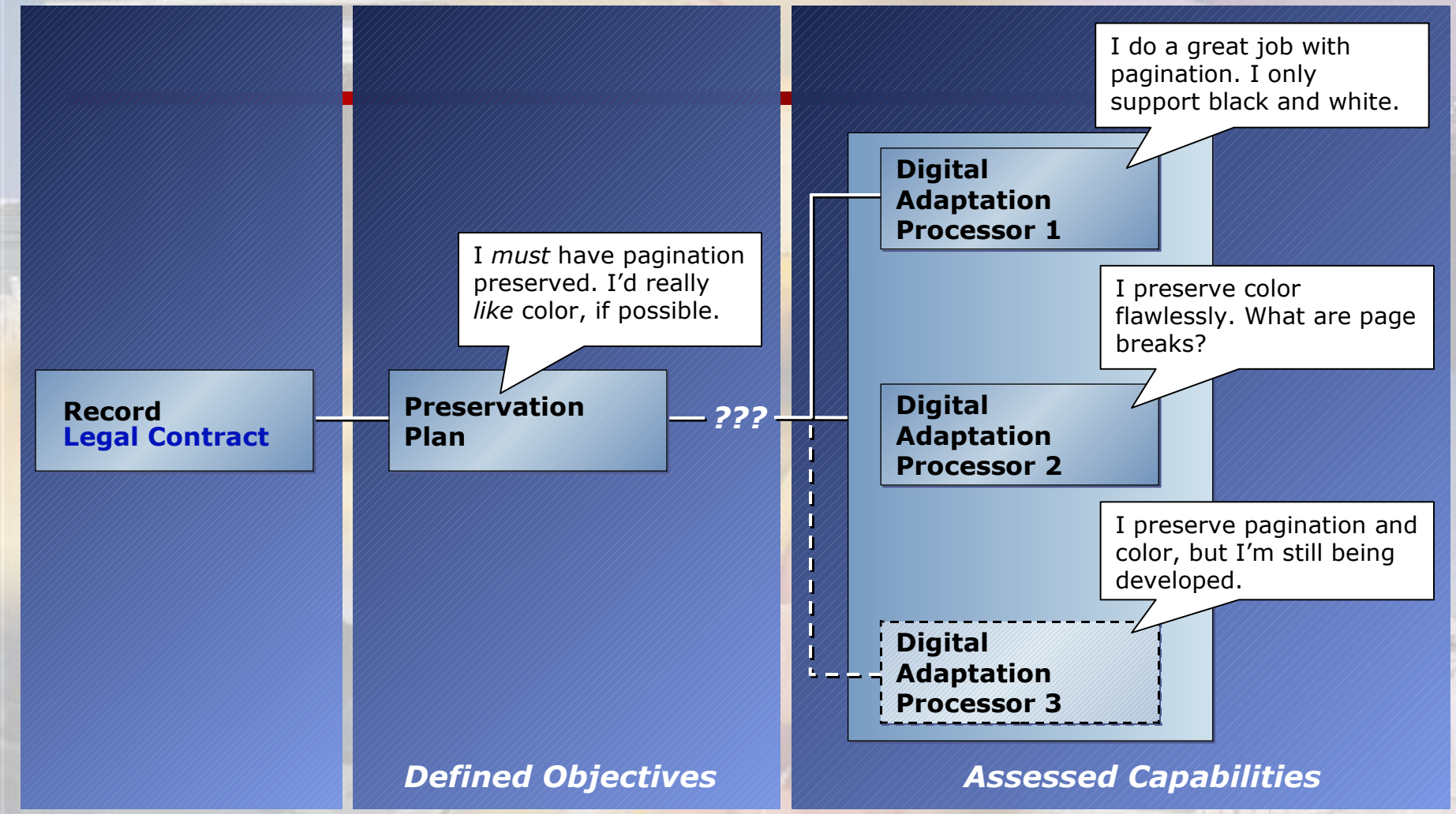
NARA

...ready access to essential evidence...

Electronic Records Archives

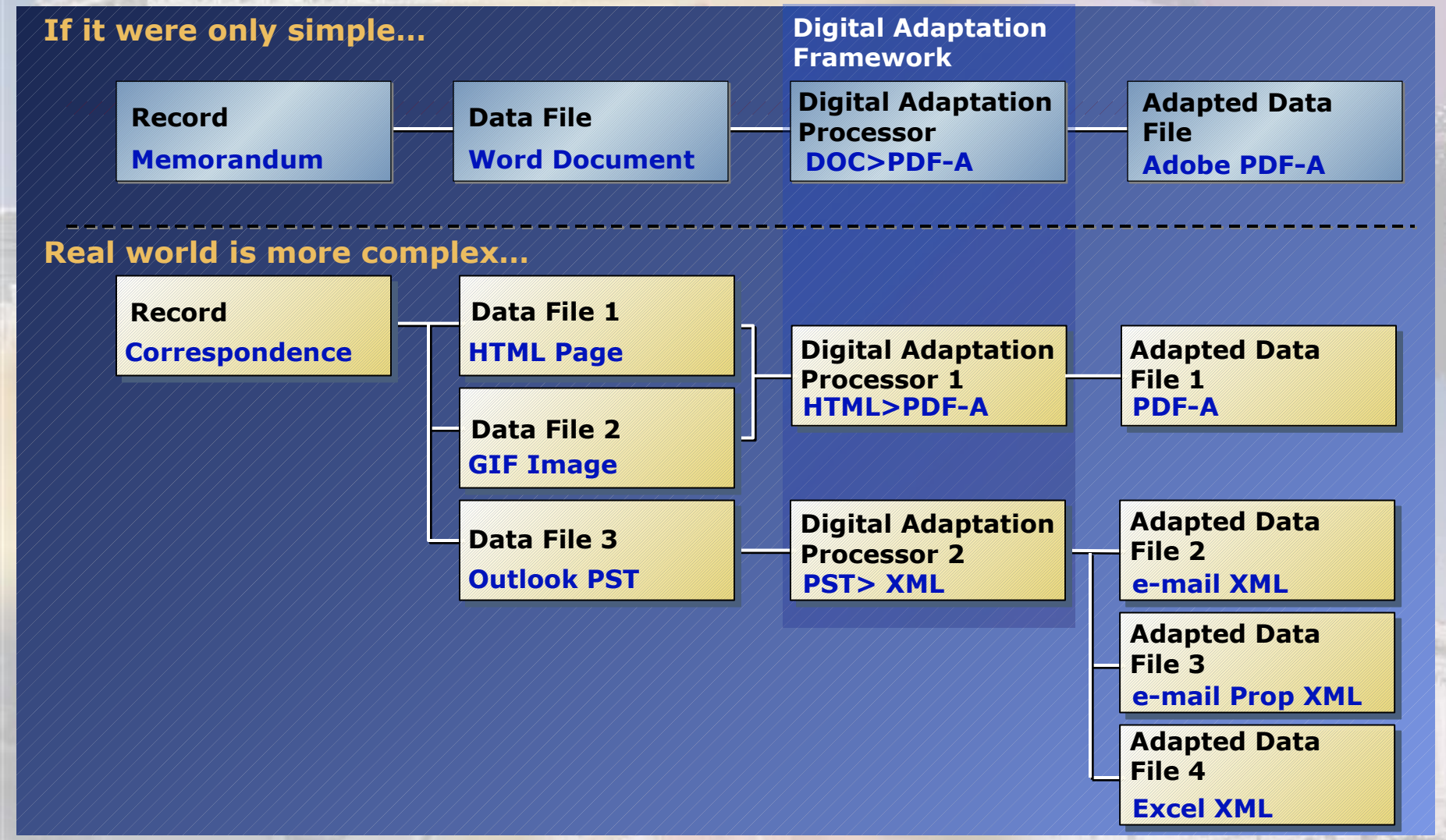


Preservation Planning



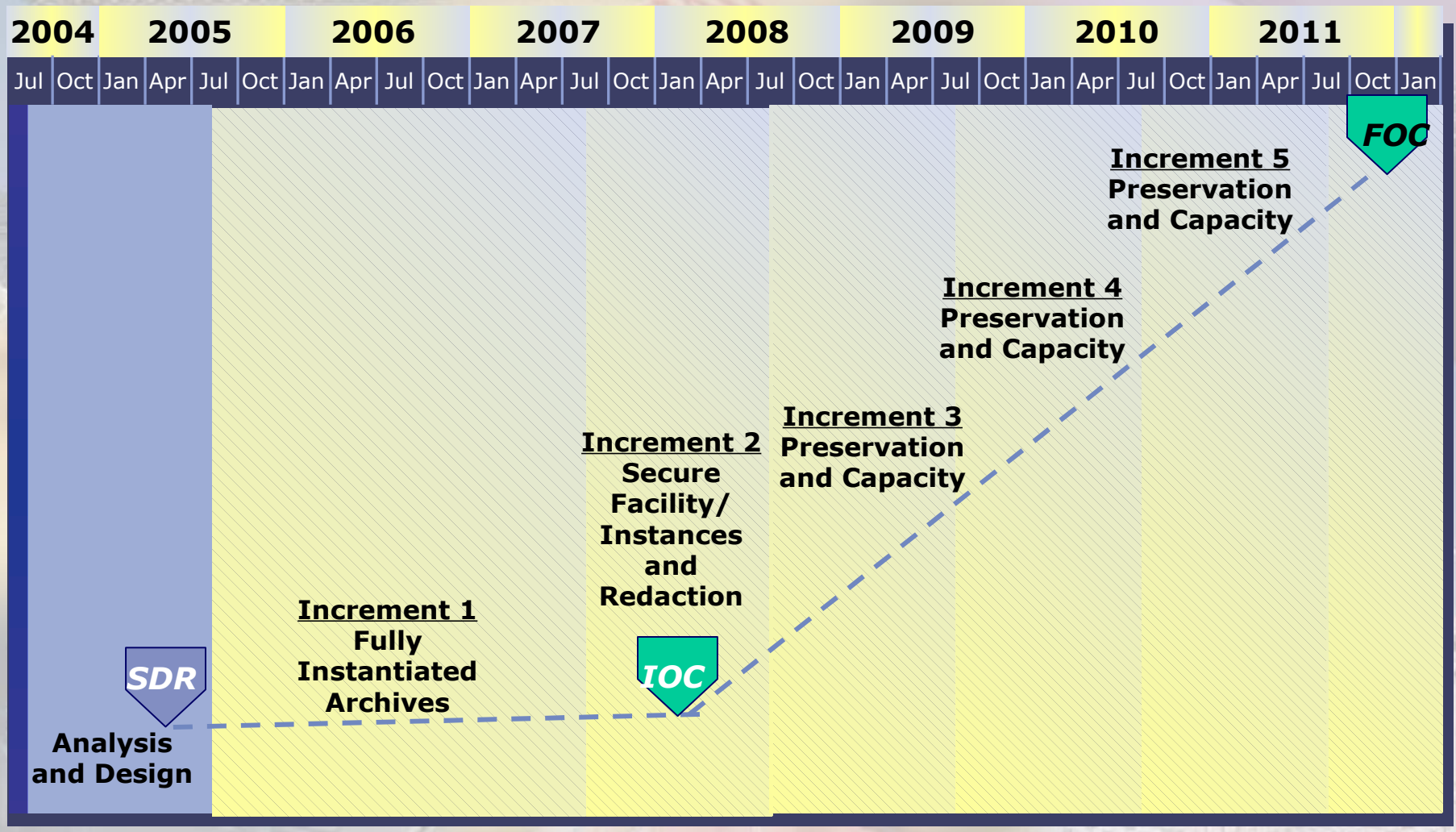
ERA Matches System Capabilities to Archival Objectives to Maximize "Best-Fit"

Preservation Processing



Prototype Tackles Complex Records and Complex Data Types

ERA Development Plan



What Difference will ERA make for the public sector?

- Blazing a trail others will follow
- Research results are in the public domain
- A Digital Preservation Service industry will form around ERA's success and lessons. Competition will drive costs and prices down.
- Cooperatives will emerge that capitalize on the technology and that pool the costs and risks

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