

Records Management & The Federal Enterprise Architecture



Transformation
through Partnerships

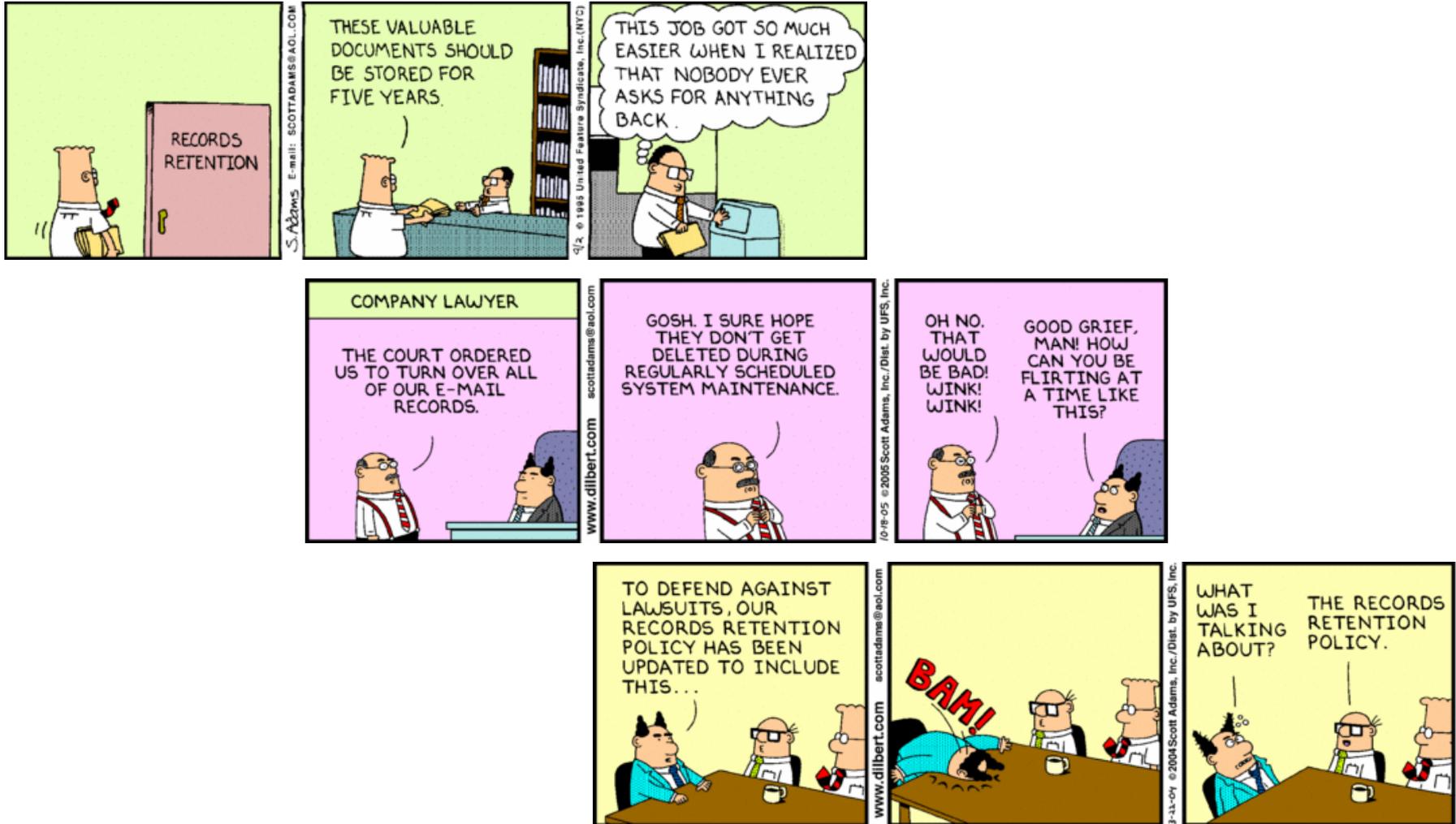
"Without access to information there is no transparency; without transparency there is no accountability; and without transparency and accountability there is no democracy."

(Dr. Harrison Mwakyembe)

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You Need A Records Management Program When.....



- Records Management Applicability
- Records Management Accountability
- Evolution of Records Management
- Federal Enterprise Architecture/Reference Models
- Records Management Profile
- File Plan Development
- Measuring Performance

Records Management Responsibility

WHO GENERATES RECORDS?

A



B



C



Records Management Responsibility

WHO GENERATES RECORDS?

A



Visitor Logs
Employee Logs

C

Function/Business
Dependent



B



Supplies MSDSs
Cleaning Schedule

- Government Account for Agency Decisions

DO IT

VALIDATE IT

PROVE IT

If you can't prove it.....you didn't do it.

- Three basic obligations regarding Federal records:
 1. Create a record of decisions and actions taken.
 2. Manage to ensure they can be found when needed.
 3. Disposition in accordance with schedules and regulations.

- Past - Traditional
 - Paper Recordkeeping Systems
 - Stage of Records Management Involvement
- Present
 - Electronic Media Explosion
 - Still Managing Paper
 - Hardcopy No Longer Standard as “Record Copy”
 - Traditional Records Management Not Effective
 - Agency’s Process Not Modernized
 - Legacy Information At Risk

- Future - Face the Challenges - Paradigm Shift
 - Focus Protect/Manage Data NOT Technology
 - Involve Records Management At Beginning
 - Proactive Management of Electronic Records/Systems
- How Do We Get There?



- Federal Enterprise Architecture (FEA)
 - Original Committee Intent
 - Reference Models

Figure 1: PRM Structure

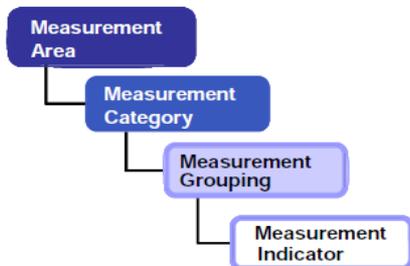


Figure 2: BRM Structure

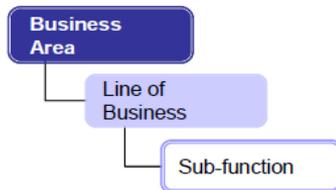


Figure 3: SRM Structure

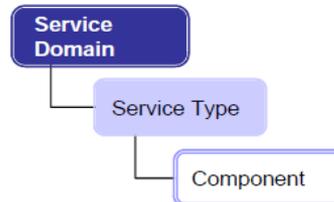


Figure 4: TRM Structure

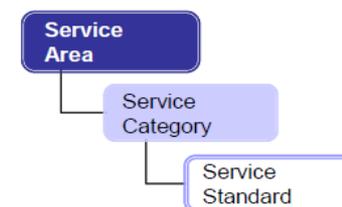
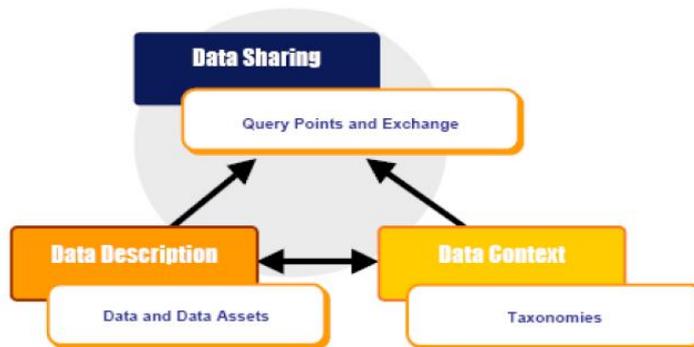


Figure 5: DRM Structure



FEDERAL ENTERPRISE ARCHITECTURE



Information which is not communicated is valueless. Information which cannot be found is worthless.

- What is Created/Who Creates it
- Design Functional Framework
- Records Management Profile

0000 - Mission Line of Business

1000 - Strategic Planning, Policies, & Procedures

2000 - Legal Services & Public Affairs

3000 - Emergency Management & Continuity of Operations

4000 - Performance, Oversight, & Assessments

5000 - Management & Administration

6000 - Budget, Finance, Procurement & Agreements

7000 - Human Resource Management

8000 - Safety, Security & Health

9000 - Information Technology & Life-Cycle Management

A000 - Information Management

B000 - Facility, Property & Transportation Support Services

C000 - Facility Construction, Maintenance, Operations

4000 PERFORMANCE, OVERSIGHT, & ASSESSMENTS

4100 PERFORMANCE MEASURES

4101 Performance Indicators

4200 AUDITS & ASSESSMENTS

4201 Audit/Investigation-National Media Or Congressional Attention

4202 Audit/Investigation-All Other (Including Financial, GAO, & IG)

4203 Facility Assessments, Inspections, & Surveys

4204 Price Anderson Amendment Act Records (PAAA)

4300 CORRECTIVE MEASURES & FOLLOWUP

4301 Corrective Actions

4302 Lessons Learned

4303 Effectiveness Evaluations

4400 IMPROVEMENT PROGRAMS

4401 Mission/Business Management Improvement Programs

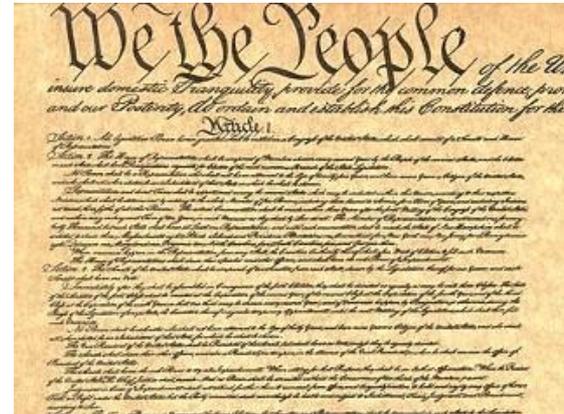
- File Plans
 - What – Identifies Organization Specific Records
 - How – Selected Elements From RM Profile
 - Why – 1200+ Reduced To >300
 - Benefits
 - Manageability
 - Searchability
 - Sustainability

- Measuring Performance-How To Know It's Working
 - Assess Organization File Plan Implementation & Use
 - Gauge Level of Employee Understanding
 - Search/Retrieval Time (i.e. FOIA/PA/Litigation)
 - Efficiency/Ease of Structure (Servers, Email, Content Management Systems)

Sustainability Records Management:

- Function Based NOT Organization Based
- Intuitive - Developed for End User not RM/IT
- Data/Content Focused vs Technology Focused

Questions?



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Preserve the Past, Protect the Present, Prepare for the Future