

# Electronic Records Archives

## ***“Implementing Electronic Recordkeeping” Records Management Services***

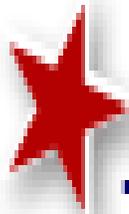
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***Records Management Service Components  
Modern Records & ERA Programs  
National Archives and Records Administration***



*Mark Giguere, Ph.D*

***RACO East 2007  
Washington, DC  
May 8, 2007  
3:00 – 4:00 PM***



**E-GOV**





## Purpose of Today's Session

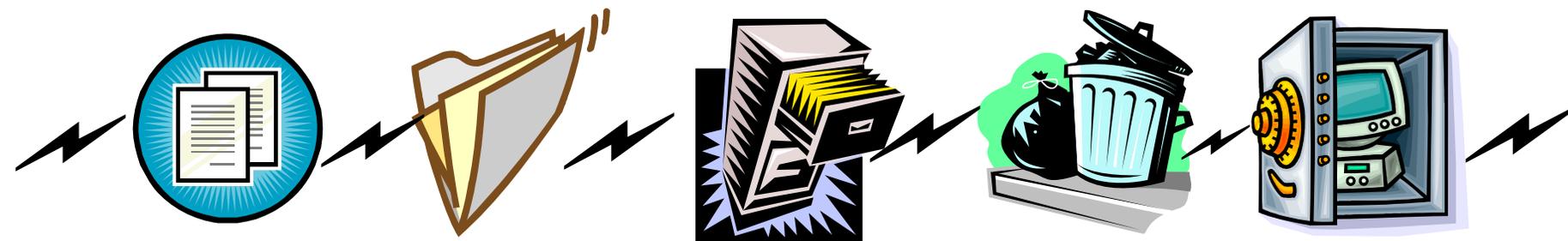


- Suggest alternative RM scenario
- Provide service-oriented architecture (SOA) context
- Provide overview the Records Management Services (RMS) Requirements Development Project
- Provide update on Object Management Group [OMG] RFI process
- Discuss 2007 NARA RMS activities



# The Records Lifecycle

*Federal Agency Viewpoint*



Records Lifecycle

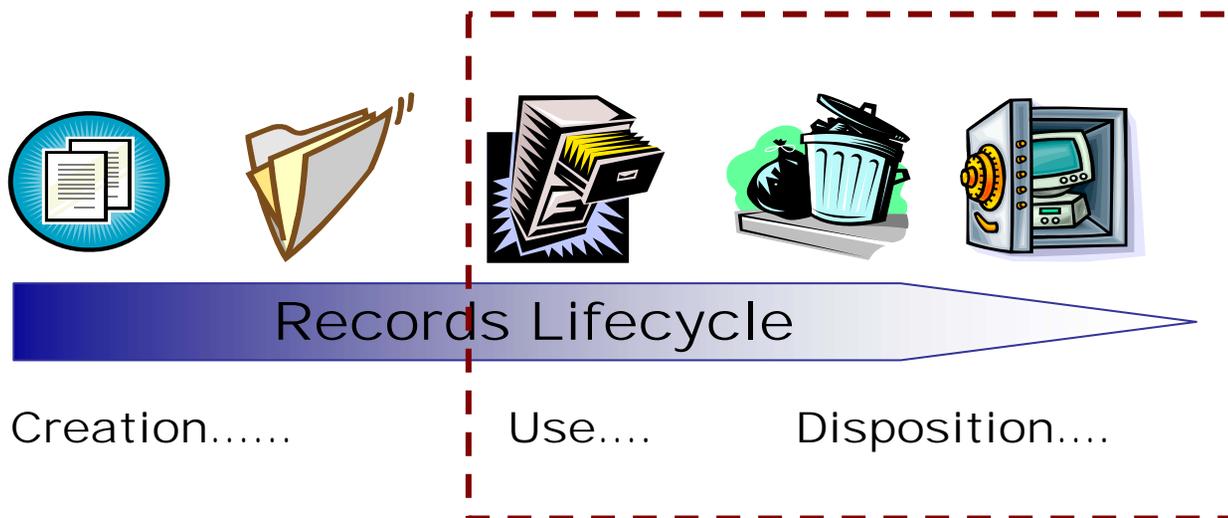
Creation.....

Use....

Disposition....

# The Records Lifecycle

## *NARA Involvement*



- schedule disposition
  - transfer physical custody
  - transfer legal custody



# Where Records Management (usually) comes in



Records  
Management



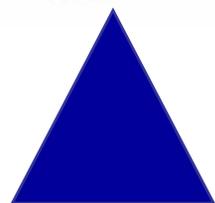
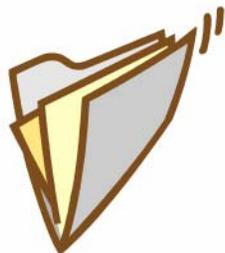
**Creation.....**

**Use....**

**Disposition....**



# Where we want Records Management to come in...



Records  
Management



**Creation.....**

**Use....**

**Disposition....**



# Services-Oriented Architecture



## Software Service:



PRM

BRM

SRM

DRM

TRM

- software that provides a **service** or function within a computing environment, and is defined by the interfaces it has with entities around it.
- focus can be enterprise, project, or object level.
- inherently modular and portable
- designed to be useable by many applications requiring similar services



## Services You Know already...

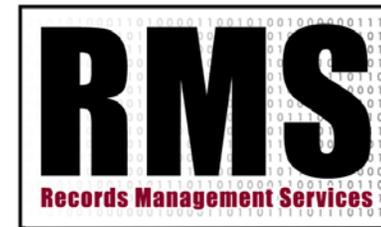


- Basic Operating System services:
  - System clock and date
  - Cursor movement and functions
  - Display
  - Clipboard
  - Print
  - Keyboard
- Common requirements met through central services



# RMS

## Requirements Development Project



- **Records Management Services (RMS)**
- **What is an RMS?**

Software-based services that support the creation, management, transfer, and destruction of electronic records within a computing environment.

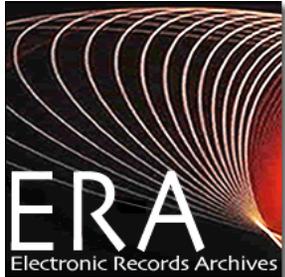


## Making the Transition to Tomorrow “Putting Records First”



### Benefits of RMS

- Allows the management of records to begin much earlier in the business process
- Built into agency’s enterprise architecture
- From user’s perspective, RMS are minimally intrusive, and often transparent
- Provide a “hook” to downstream management tools such as ERA



# RMS

## Requirements Development Project



- **Objective**

- To facilitate the acquisition of RMS that provide interoperable RM functionality in any agency system that creates/manages electronic records by:
  - Identifying, documenting, normalizing, and socializing those core RM stakeholder requirements that services can support
  - Aligning with the OMB's FEA reference models, profiles, and component registry program CORE.gov
  - Leveraging industry interest in the RMS business case



# RMS

## Requirements Development Project



- **Collaboration**
  - 18 Federal agencies
  - nine IT vendors and two universities
  - 11 NARA subject matter experts representing four offices
  - Use state-of-the-art collaborative technology
  - Offsite meetings led by experienced facilitators



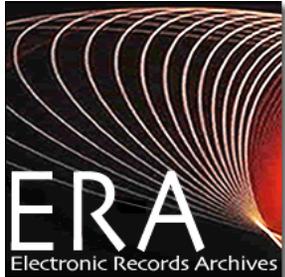
# RMS

## Participating Agencies



- 18 agencies attended seven sessions in 2005 - 2006





# RMS

## Participating Experts



- Over 30 experts in records management, enterprise architecture, e-Government, Privacy Act, FOIA, &c.
  - Departmental Records Officers
  - Deputy Chief Information Officers
  - Senior E-Government Architect
  - Chief, FOIA – Privacy Branch
  - Director, Policy and Planning
  - Division Chief, Directives & Records
  - Electronic Records Management Lead
  - Chief, Life Cycle Management Branch
  - Senior Records Analysts



# RMS

## Requirements Development Project

### - Results -



National Archives and Records  
Administration  
Records Management Service  
Components Program (RMSC)

Records Management Service Components  
Requirements Development Project  
Final Report

March 31, 2005



## Requirements Development Project Final Report March 31, 2005

- Identified & defined eight RMSC components
- 21 functional requirements
- 33 RMSC attributes
- Prioritized RMSCs for acquisition



# Making the Transition to Tomorrow

## Interagency Project Team RMS Report



Interagency Project Team  
and the  
Records Management Service  
Components Program Office of the  
National Archives and Records  
Administration

Functional Requirements and Attributes  
for  
Records Management Services  
December 7, 2005



This report is published pursuant to the "Interagency Project Team, RMS Requirements Development Project Workshop Report – Session 9, December 7, 2005," the "Records Management Service Components Requirements Development Project Final Report, March 31, 2005," and the November 2004 Memorandum of Understandings between the Managing Partner Agency (NARA) and the Contributing Partner Agencies.

- Agencies disposition of industry RFI comments
- Changed viewpoint to 'services' not 'components'
- Functional Requirements and Attributes
- IDEF0 and Unified Modeling Language views
- Ready for next steps



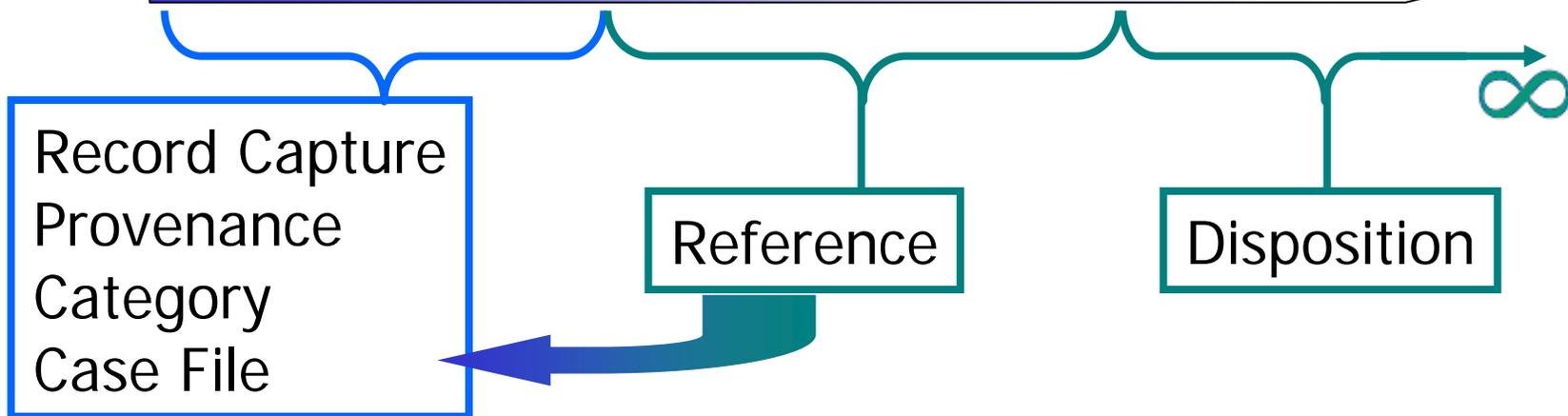
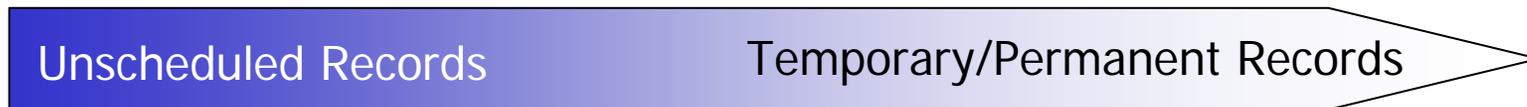
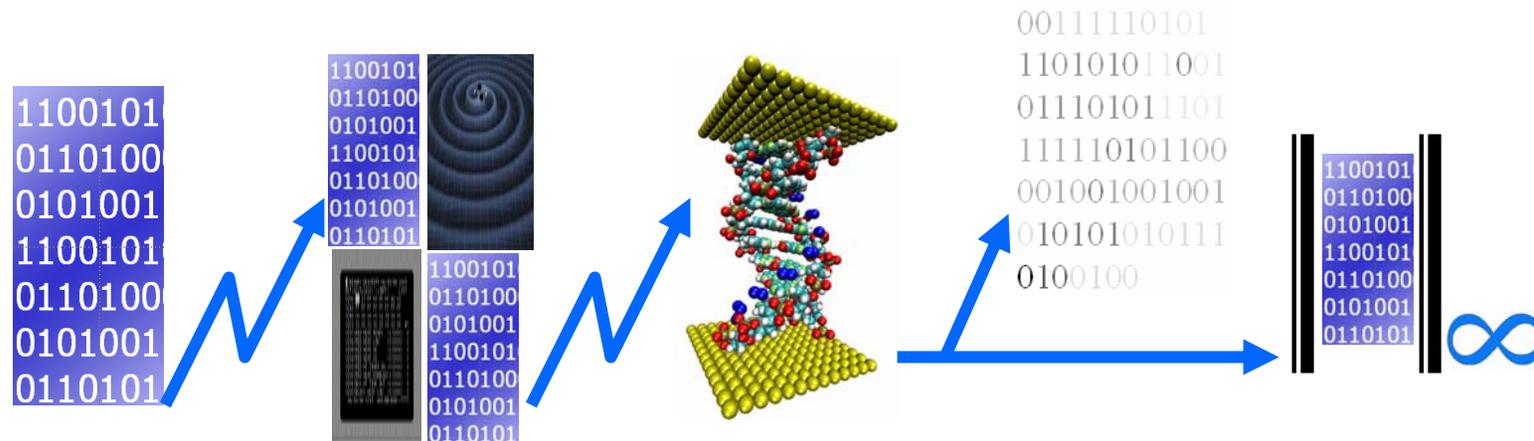
# Making the Transition to Tomorrow

## Interagency Project Team RMS Report



- Seven RM services across the record life cycle
  - **Record Capture**
  - **Provenance**
  - **Category**
  - **Authenticity**
  - **Case File**
  - **Disposition**
  - **Reference**
- Reliability

# RM Services and the Record Life Cycle





## Making the Transition to Tomorrow Next Steps at NARA



- Internal work group, chartered by Deputy Archivist (Summer 2006), to
  - Review the RMS report, attributes, and models in light of:
    - 5015.2
    - NARA regulations and RM statutes
    - ISO 15489



# What were the results?



- NARA endorsement of RMS 2005 report as one means of automating ERM
  - Continuing support for 5015.2 as another means
- RMS is consistent with:
  - ISO 15489
  - NARA regulations/statutes
- Approved 2007 strategic goals
  - Further communications re. RMS
  - Work with OMG's GovDTF
  - Registration in CORE.gov repository



# Questions?



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**Additional Information**  
**<http://www.archives.gov/era/rms/>**