# **Planning for and Implementing New Information Systems**

## **System Overview and Ownership**

* Who is the business owner for the system?
* Who will be the system owner and technical points of contact?
* What information, data, and records will be stored and managed in the system?
* How will the system be used to support the business?
* Is this system replacing one or more existing systems? If so, which one(s)?
* Who will maintain, store, and provide access to the system? If the system is being provided or managed by a contractor, what ownership, data retention, and records disposition processes are specified in the contract?

## **Data Retention and Disposition**

* Are all records and data sets in the system covered by a NARA-approved records schedule?
* Which records schedule categories apply?
* How will the records schedule categories for each type be identified within the system? (e.g., metadata field, record or document types, or other method)
* What records and data flow into the system? Does the system receive inputs from other processes or systems, or does it interface with other applications (e.g., email, apps, online forms, websites, etc.)? If so, which ones?
* What records and data are output from the system? Does the system send output to other processes or systems? If so, which ones?
* How will the system identify and track records that are required for transfer to the National Archives (permanent records)?
* How will the system support the transfer of permanent records to NARA when required by the records schedule?
* How will the system identify and track records eligible for deletion under an approved records schedule?
* How will the system handle the deletion of expired records in the system and document the approval process for the deletion?

## **Long-Term and Permanent Records Access**

* How will the system ensure that the records will remain complete, usable, and accessible over time?
* What file formats will be used?
* If any of the records in the system are scheduled as permanent, do their formats meet those required by NARA?
* If the format does not meet those required by NARA, can it be migrated to an acceptable or preferred format?
* How will the system export the records and their associated metadata for migration to another system or transfer to the National Archives if required?

## **Migration and Implementation**

* How will the transition to the new system be managed?
* Are any analog records (paper, printed photographs or maps, etc.) being digitized and ingested into the new system? If so, which ones?
* What records schedule categories apply?
* What metadata are being captured?
* What Quality Assurance/Quality Check (QA/QC) processes are in place to verify the images?
* How are the analog originals handled after they are scanned?
* If data are being migrated from existing systems, how will the process of data selection and migration be managed?
* Will any records in the existing systems be left out of the migration? If so, how will those records be retained and managed through the remainder of their required retention times?
* How will the information be accessed during the migration to the new information system?

## **Legal and Audit Issues**

* How will holds be applied? In other words, if selected records or data sets are needed to support an audit or lawsuit, what procedures and system features will ensure their integrity, retention, and legal admissibility for the duration of the event?

## **Privacy**

* Do the records contain Personally Identifiable Information (PII)?
* If so, what processes are in place to ensure that data will be kept accurate and up-to-date?
* Who can access the system? What levels of access will apply? What levels of access will be applied to each type of records stored in the system?
* Has everyone accessing records with privacy information been trained on privacy regulations?
* What procedures and security measures will be used to protect the information according to privacy regulations?

## **Security and Backups**

* Are classified records maintained in the system? If so, which series?
* What processes are in place to safeguard classified data?
* How will security requirements be implemented and quality-checked?
* How will the system prevent unauthorized access or changes to the data?
* What business procedures are in place to handle changes to and deletion of data? How will the system track who changed the data, when it was changed, and what the changes were?
* What measures are in place to prevent loss of data?
* What system backup and recovery procedures are in place?
* How are backups being managed? How long are backups kept?

## **Long-Term Access and End of System Lifecycle**

* What is the planned lifespan of the system?
* If the records are to be migrated to a new system, which data sets / records will be migrated? Which ones will not? How will their associated metadata be captured and migrated?
* After the system has been decommissioned, what will happen to the system?

# **Decommissioning Information Systems**

## **System Overview and Ownership**

* Who are the current business owners of the system?
* Who are the system owners and technical points of contact?
* Which programs use the current system?
* Is a new system (or set of systems) replacing this system? If so, what is the new system? Who will be the business owners of the new system? Who will be the system owners and technical points of contact for the new system? How and when will we work together to plan records retention and management for the new system?
* Is any portion of the system or its data being transferred to another department or agency? If so, how will the transfer of ownership be handled?

## **Data Retention**

* What records are contained in the current system?
* What approved records schedule categories apply?
* Do any of the records and data sets in the current system not have an approved schedule? Which ones?
* How have approved records schedule retention times been applied in the current system?
* Are any of the records in the system currently at the end of their lifecycle (expired/eligible for deletion (temporary) or eligible for transfer to NARA (permanent))?
* What records schedule categories will apply to the records in the new system?

## **Data Migration**

* What records and data sets have been selected for migration to the new system?
* What records and data sets will not be migrated?
* How will these records be maintained throughout the remainder of their lifecycle? Where and how will they be stored and accessed? How will they be handled when they expire or become eligible for transfer to NARA?
* How will the information be accessed during the migration process?
* How will the migration process be monitored and quality checked to ensure that all data are migrated successfully?
* How will privacy and security requirements be handled during migration?

## **End of Lifecycle**

* What will happen to the old system after it is decommissioned?
* How will we document the disposition of records deleted or transferred as part of the decommissioning process?
* Have we accounted for all records migrated, stored, and dispositioned during this process?
* Have we updated systems inventories, data maps, file plans, and other tools to reflect the changes made?