May 25, 2011

Recovery Accountability and Transparency Board

Standing Up a New Records Management Program

Veda Sims, Chief Information Security Officer/
Chief Privacy Officer/ Records Officer

Recovery Accountability and Transparency Board
The Law – February 2009

www.Recovery.gov

Challenges

- Lack of Resources (Less than 100 employees)
- Major Efforts/ Short Timelines/ Projects Often Run in Parallel
- Learning Curve in Terms of Records Management
- Responsible for Setting Up an Information Assurance Program as the CISO and Chief Privacy Officer
- Records Management Initiative was Considered as “All Other Duties as Assigned”

Where Do You Start When Nothing Exists?

Gather Artifacts

- Org Charts
- Annual Reports
- Culture
- Compliance Requirements
  - NARA, OMB, FIPS 199, NIST 800-37, NIST 800-53 Rev3

Identify & Interview Stakeholders

- External
  - American Public
  - Regulatory Agencies
  - Contractors/Vendors
  - Etc.
- Internal
  - Executive Management
  - General/Legal Counsel
  - IT Operations
  - Etc.
- Identify & Categorize Data

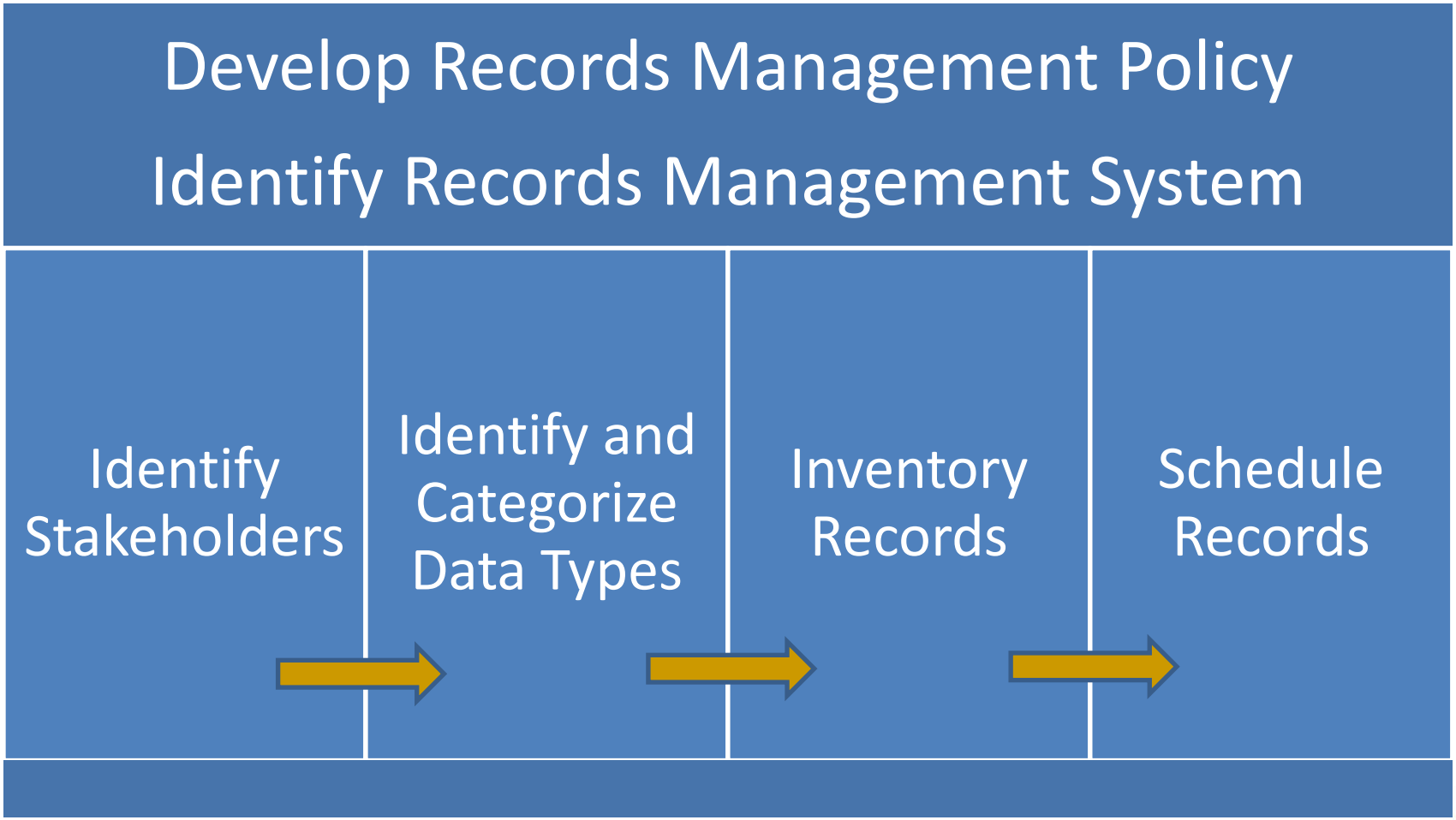
Compare Artifacts to Interviews

- Compare Interview Responses to Regulatory Requirements

Identified Data Type Examples

Agency Dept/Division	Types of Data	Type of Schedule	Comments	System Type
Finance	•Financial •PII	General Schedule	Adheres to SAS70 requirements	GSS
Communications	•Public Facing Data •Published on social networking sites – i.e. Twitter, Facebook* •Email Contacts •Reporter Files	General Schedule *Create Separate Schedule for Social Media Sites	Integrity and availability of the data is critical due to public communications	GSS
Mission Support	•Administrative Data •Personnel Data •PII	General Schedule	Availability of data is critical to maintain & support agency operations	GSS

Methodology



Quick Wins

- Identified Agency Data Types
- Leveraged Records Management to Stand Up Information Assurance Program
- Developed Annual Security Awareness Training that Comprised of Information Security, Records Management, and Privacy
- Submitted First Schedule to NARA within 14 months from Start to Finish
- Created Repeatable Processes that Matrix Across the Organization
- Utilized NARA Archivist P.O.C.(s)Throughout Entire Process

Contact Information

1717 Pennsylvania Avenue, NW

7th Floor

Washington, D.C. 20006

(202) 254-7900

Veda.Sims@ratb.gov

www.Recovery.gov

May 25, 2011

QUESTIONS?

Veda Sims, Chief Information Security Officer/
Chief Privacy Officer/ Records Officer