

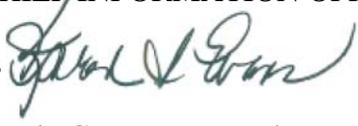


EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
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MEMORANDUM FOR AGENCY CHIEF INFORMATION OFFICERS

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SUBJECT: Tools Available for Implementing Electronic Records Management

The strategic management of government information resources, in coordination with records management, helps to:

- Ensure public accountability;
- Guard the legal and financial rights of the government and public; and
- Promote public access to information.

To ensure the information being collected and created by the Federal government is accessible now and in the future, it is necessary to systematically manage Federal records. Cost effective information resource management programs promote a more citizen centered government by providing access to government information throughout the entire lifecycle of information.

When planning for and acquiring information systems and services, agencies must incorporate records management and archival functions, including the cost of implementing and maintaining those functions, into the design, development, and implementation of information systems.¹ Additionally, agencies can minimize barriers to information access and more efficiently use resources through avoiding duplicative investments in records management information systems. This memorandum reminds agencies of resources to improve how your agency:

- Provides cost-effective and consistent access to and dissemination of government information;
- Incorporates records management into your capital planning and investment control process;
- Simplifies the activities, systems, and processes of records creation, maintenance, and use; and
- Plans for the lifecycle of information including the transfer of permanent records to the National Archives and Records Administration (NARA).

A recently finalized SmartBUY agreement for records management software provides a secure, scalable, and high-performance solution for the management and control of documents, records, and other enterprise content.² NARA has also worked jointly with the Federal community to

¹ These requirements are in existing law and policy including OMB Circular A-130 and the Paperwork Reduction Act. OMB Circular A-130 can be found at: <http://www.whitehouse.gov/omb/circulars/a130/a130trans4.html>. The Paperwork Reduction Act can be found at: <http://www.archives.gov/federal-register/laws/paperwork-reduction/>.

² This refers to the Meridio Enterprise Content Management SmartBUY agreement. This software possesses a valid certification until November 2009. A list of current SmartBUY agreements can be found at: <http://www.gsa.gov/smartbuy>.

develop a set of requirements to be used to specify web services supporting various records management functions.³

The Office of Management and Budget (OMB) expects agencies to apply the existing requirements when acquiring and implementing information systems and services. OMB, in coordination with NARA, will monitor agency compliance with these policies as part of its oversight of agency information resource management programs. The following guidance documents will aid the implementation of existing law and policies when investing in an information system.

1. E-Government Electronic Records Management Initiative⁴

This E-Government initiative provides tools for agencies to reference when managing their records in electronic form. The guidance and best practice documents produced through this initiative by NARA, the Department of Defense (DOD), and the Environmental Protection Agency on electronic records management help agencies transfer electronic records to NARA in a variety of data types and formats so they can be preserved for future use.

2. DOD Electronic Records Management Software Application Design Criteria Standard, Version 2 (DOD 5015.2-STD)⁵

This DOD-issued standard endorsed by NARA sets forth mandatory functional requirements and identified recommended features for Records Management Application (RMA) software. NARA recommends agencies use the DOD standard and DOD-certified products as a baseline when selecting an RMA to manage the agency's electronic records. Version 3 of the standard is currently undergoing review for NARA endorsement.

3. Federal Enterprise Architecture (FEA) Records Management Profile, version 1.0⁶

The Records Management Profile provides the framework for embedding common and consistent records management procedures and practices into agency business processes to help cost-effectively ensure access to information. Agencies should use the Profile to identify records management issues, risks, benefits, and challenges during business process and information technology investment planning. To aid in this process, NARA has published checklists for agencies to use in implementing the goals of the Records Management Profile.⁷

³ This refers to the Records Management Services Program which can be found at: <http://www.archives.gov/era/rms/index.html>.

⁴ The guidance products issued by the Electronic Records Management Initiative can be found at: <http://www.archives.gov/records-mgmt/initiatives/erm-overview.html>.

⁵ DOD 5015.2 can be found at: <http://jtc.fhu.disa.mil/recmgt/standards.html>.

⁶ The FEA Records Management Profile can be found at: <http://www.archives.gov/records-mgmt/pdf/rm-profile.pdf>.

⁷ The RM Profile checklists can be found at <http://www.archives.gov/records-mgmt/initiatives/erm-guidance.html>.

4. The Federal Enterprise Architecture (FEA) Practice Guidance⁸

The FEA Practice Guidance describes important concepts architects can use with stakeholders to deliver value to the business and improve results in agency mission areas. The Practice Guidance focuses on development of segment architectures and provides a context for applying the Records Management Profile to augment specific segment architectures to reflect records management requirements, shared services, and technology solutions.

5. NARA Guidance for Implementing Section 207(e) of the E-Government Act⁹

NARA's guidance highlights agency responsibilities to identify and schedule their electronic records and to transfer to NARA electronic records requiring permanent retention. Agency responsibilities for identifying and scheduling electronic records can be separated into two categories: developing records schedules for all records in existing electronic information systems and establishing procedures for addressing records management requirements, including recordkeeping requirements and disposition, before approving new electronic information systems or enhancements to existing systems.

6. OMB Memorandum 06-02, "Improving Public Access to and Dissemination of Government Information and Using the Federal Enterprise Architecture Data Reference Model"¹⁰

Agency information resource management programs should already ensure the ability to access records regardless of form or medium. The procedures to organize and categorize information and make it searchable across agencies in OMB Memorandum 06-02 should be used to improve public access and dissemination of government information as a part of managing government information throughout its lifecycle. To cost-effectively implement these procedures, agencies should publish their information directly to the Internet.

Many of the above guidance documents and additional resources from NARA and other organizations are available through NARA's Toolkit for Managing Electronic Records.¹¹

⁸ The FEA Practice Guidance can be found at:

http://www.whitehouse.gov/omb/egov/documents/FEA_Practice_Guidance.pdf.

⁹ NARA's Guidance on Implementing Section 207(e) of the E-Government Act can be found at:

<http://www.archives.gov/records-mgmt/bulletins/2006/2006-02.html>.

¹⁰ OMB Memorandum 06-02 can be found at: <http://www.whitehouse.gov/omb/memoranda/fy2006/m06-02.pdf>.

¹¹ The Toolkit for Managing Electronic Records can be found at: <http://toolkit.archives.gov>.