
Electronic Records Assessments and Appraisal Methodologies

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Objectives

To understand:

- How assessments and appraisals of electronic records are used to incorporate recordkeeping requirements into IT systems, enabling:
 - Integration of Records Management (RM) requirements early during system development
 - Collaboration with system developers to discuss risk mitigation needs and risk avoidance strategies
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Motivation for Change

Organizational Drivers

- Delay of execution of Timothy McVeigh
 - Electronically stored information discovered late in the appeal process that had not been revealed during initial discovery
 - FBI had to prove that discovered items were pre-decisional and had no bearing on trial outcome before the death sentence could be carried out
 - Led to article “Analysis: Furor continues over evidence the FBI withheld in its case against Timothy McVeigh”
 - FBI Transformation
 - Intelligence Agency
 - Technology
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Motivation for Change (cont'd)

External Drivers

- Government transparency initiatives
 - Changes to the Federal Rules of Civil Procedure (e-Discovery)
 - 9/11 Commission Report
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9/11 Commission Report

- “...the FBI’s information systems were woefully inadequate. The FBI lacked the ability to know what it knew.”
 - “There was no effective mechanism for capturing or sharing its institutional knowledge”
 - Phoenix Memo
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Phoenix Memo

- An FBI agent advised the “possibility of a coordinated effort by Usama Bin Laden” to send students to the US to attend civil aviation schools
 - On September 4, 2001, the FBI sent a teletype to the CIA, the FAA, the Customs Service, the State Department, the INS, and the Secret Service summarizing facts known about Moussaoui, but did not report that he planned to hijack an airplane
 - Disagreement between field office and HQ as to Moussaoui’s intentions
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Lessons Learned from 2001

- The Bureau needed to update electronic case management
 - Recordkeeping remained paper based and “print to file”
 - J.E. Hoover had developed a classification system that resembled library-type classification systems, not records or case management (he was a certified librarian)
 - Information was grouped, but difficult to locate or share internally and externally
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Lessons Learned from 2001

- Cases and information needed better management
 - Classifications, not easily sorted or managed
 - Many stenographers & file clerks necessary
 - Records in IT systems not well managed



Gearing Up for Change

- To respond to the drivers and the need for change, the FBI Records Management Division needed to engage IT professionals and integrate RM processes into system development and reviews, in other words, we needed to learn to play in their sandlot
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Learning the IT Sandlot

- Establish and certify system information management requirements
 - Illustrate fit of RM with IT Governance to gain involvement
 - Get a “seat at the table” with IT led working review boards
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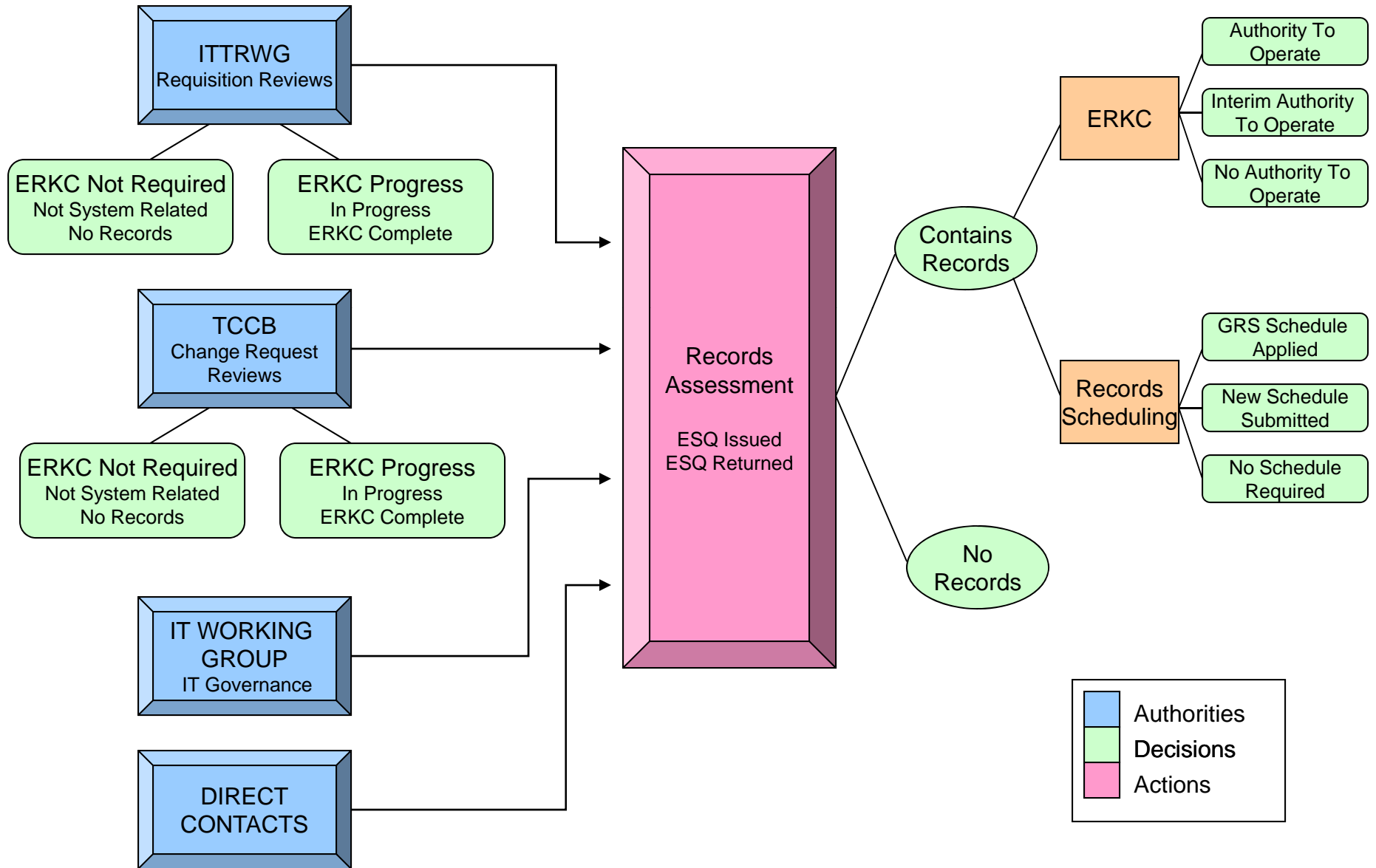
Change the Information Management Business Process

- Establish RM as a major stakeholder in system development and system development reviews (for both new & legacy systems)
 - Approach the change in process as a “value added” change
 - Establish that RM is a key player to help manage information, not hinder system development
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Demonstrate Potential Benefits

- Illustrate the impact points within the SDLC and provide examples of how RM can save money during SDLC
 - Provide examples of how certification helps to adhere to e-Discovery requirements
 - Use existing resources to glean RM information for systems (so no new demands were made on project managers)
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Records Management Interfaces



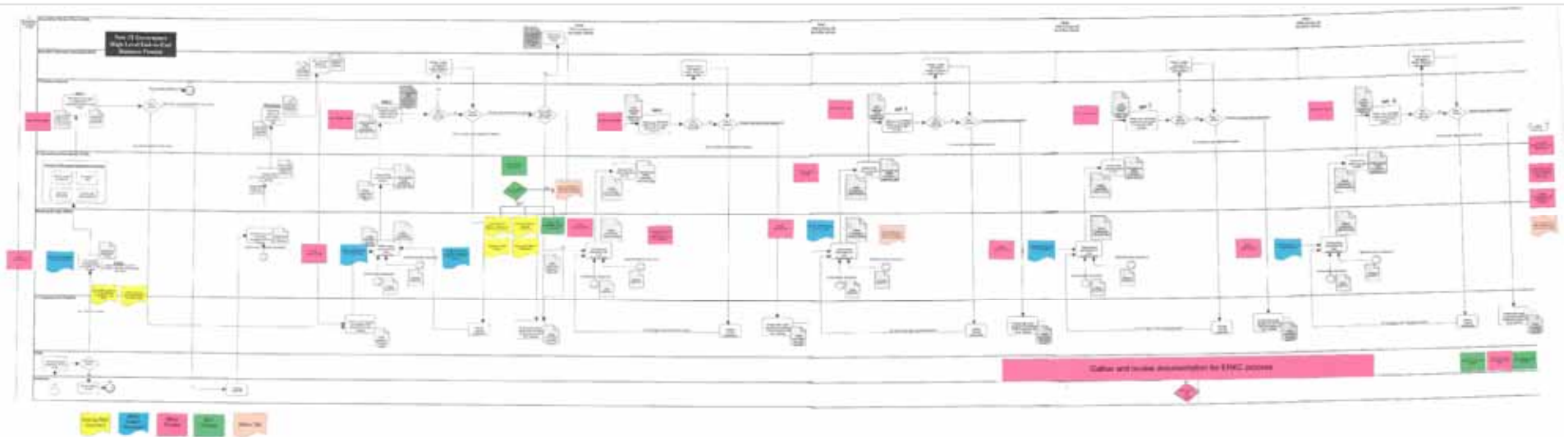
RM as a Member of IT Review

- RM involvement in the IT purchases and configuration control reviews to understand how systems were being altered and impacting RM
 - Through concentrated efforts RM staff, we were able to work with IT staff proving the value of their sustained involvement
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RM as Part of the System Development Lifecycle (SDLC)

- The Records Management Division now
 - has input at every development milestone
 - can provide system owners with cost justifications for data migration or disposition preparations, if needed, as part of their system lifecycle costs
 - can stop a system early in development, if necessary
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Mapping RM into SDLC



- RM processes impact and interface with the system development lifecycle at each colored point on this mapping

Electronic Recordkeeping Certification

- Electronic Recordkeeping Certification (ERKC) is the process by which systems, both legacy and new, are certified as compliant with recordkeeping requirements
 - FBI ERKC is based on DOD 5015.2
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Electronic Recordkeeping Certification

- Early in system development, system owners must decide how they will approach recordkeeping
 - Integration with an RMA
 - Export data to an RMA
 - Recordkeeping functions Integral to system
 - All legacy systems evaluated under “integral” approach
 - Evaluation of record declaration, capture, maintenance and use, disposition, and national security classification
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Certification Processes

- Use existing system documentation, system testing data, FISMA, and Privacy Impact Assessments for gleaning system information
 - Incorporate e-Discovery guidance for systems that do not maintain records
 - Provide system owners with Risk Mitigation plans to address recordkeeping deficiencies
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Current State:

Open Interfaces between IT and RM

- RM now includes IT portfolio managers in all discussions regarding system certification for electronic recordkeeping
 - RM is included as a voting member on all IT project review boards at all development stages
 - RM involves General Counsel early in system reviews when concerns are noted
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Current State:

Organizational Acceptance

- RM has been accepted as a professional discipline at the FBI
 - Project Managers now seek out RM involvement during system concept reviews
 - Other stakeholders now seek RM impact when they notice it is missing from system documentation (i.e., General Counsel during Privacy Impact Assessment development)
 - FBI RM now becoming the Gold Standard for managing electronic records
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The Gold Standard for E-RM

- Recordkeeping certification the FBI uses for electronic systems can be found online at <http://www.archives.gov/records-mgmt/toolkit/pdf/erkc-manual.pdf>
 - Records assessments are performed early in system development
 - Record schedules are developed early in system development, sometimes prior to full system implementation
 - Shortcomings to meet recordkeeping are identified early in system development, reducing cost of implementation
 - RM concerns are addressed before old systems are discontinued and corporate memory is lost
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Lessons Learned

- IT System Owners generally cannot answer RM questions on their own
 - We use the same terms to describe totally different actions: i.e. archive, record, file
 - Incorporate e-Discovery guidance for systems that do not maintain records
 - Provide examples of good and bad planning for information management in briefings to Project Managers
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Lessons Learned

- E-Discovery is a business driver that gets attention
 - Information must be managed, whether or not it is considered records
 - RM brings a disciplined process for managing information
 - Metadata management is key (and is part of the ERKC process)
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Continuing the Transformation

Within the FBI Environment

- RM must continuously maintain involvement and demonstrate value added to the IT reviews and governance processes
 - RM must integrate with professionals responsible for e-Discovery initiatives
 - RM must lead the FBI in E-RM initiatives, including the proper management of new and ever-changing e-records (tweets, blogs, wikis)
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Questions/Comments?

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