STATEMENT BY

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BEFORE THE

U.S. HOUSE OF REPRESENTATIVES

COMMITTEE ON OVERSIGHT AND GOVERNMENT REFORM

SUBCOMMITTEE ON

INFORMATION POLICY, CENSUS, AND NATIONAL ARCHIVES

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2:00 P.M.

Good afternoon, Chairman Clay, Congressman McHenry and Members of the

Information Policy, Census, and National Archives Subcommittee. My name is David

Wennergren, and I am the Deputy Assistant Secretary of Defense for Information

Management, Integration and Technology and Deputy Chief Information Officer (CIO).

I want to thank you for the opportunity to appear before the Subcommittee to discuss

issues related to electronic records management and the Department's efforts in

complying with existing statutory and regulatory requirements from the National

Archives and Records Administration (NARA).

TRANSITIONING THE DEPARTMENT INTO THE INFORMATION AGE

The Information Age provides tremendous opportunities to improve operational

effectiveness through the accelerated use of information technology. The Department of

Defense is increasingly reliant on information technology in all aspects of its operations,

and our success will be measured by how we effectively manage information in a

contested environment. Across the Department, paper-based business processes are

being transitioned to electronic-based solutions. And thanks to technology advances like

service-oriented architecture and the advent of Web 2.0 tools, new information

capabilities are able to be delivered much more rapidly today than was even dreamed

possible a few years ago. To this end, the Department has been making significant

strides in implementing a Service-Oriented Information Enterprise where data assets,

services, and information sharing solutions are visible, accessible, understandable, and

trusted by all authorized users. This service-oriented environment strategy for DoD

establishes web services as the preferred means by which data producers and capability providers can make their data assets and capabilities available across the DoD and beyond. It also establishes services as the preferred means by which consumers can access and use these data assets and capabilities.

Accompanying this transformation is the ever increasing importance of electronic records management, to include records storage, records scheduling of electronic information systems, proper disposition of records, and preservation of media devices. The Department is committed to ensuring compliance with records management regulations, integrating records management into any newly developed information system and bringing legacy systems into compliance.

The challenges that we encounter as we develop Information Technology (IT) tools for records management are not inconsequential and our goal is to develop records management application software that is transparent to the worker, relatively simple to use, consistent and compatible with existing business processes, and scalable to grow as electronic demands evolve.

DoD RECORDS MANAGEMENT INTRODUCTION

Policy and standards to implement the DoD Records Management Program are in place, and this guidance addresses both the life cycle management of information as records in all types of media, as well as ensuring compliance with policies and procedures issued by NARA. Effective records management involves close

collaboration across all DoD Components as they implement records management solutions within their respective subordinate organizations. Together, we ensure that all DoD Component Records Managers adhere to the core tenets outlined by the Archivist of NARA to:

- create and manage the records needed to meet our DoD business needs,

- keep records long enough to protect rights and assure accountability, and

- preserve those DoD records of archival value for future generations.

DoD maintains trained records managers at all levels to help achieve these principles.   In addition, as information technology advances have resulted in the shifting of responsibility for records management from central records management organizations to individual employees, we are all working to ensure that we have a trained and educated workforce that understands the importance of making records management an integral part of the daily operational cycle for all organizations.

Two key DoD policies drive this records management work. The first is DoD Directive 5015.02, "DoD Records Management Program," which provides overarching guidance to the entire Department. The second is DoD 5015.02-Standard, "Electronic Records Management Software Applications Design Criteria Standard," April 2007. This latter document, known as the Standard, is used primarily to test and verify software proposed for use within DoD as a records management application or "RMA."

<u>DoD 5015.02 STANDARD</u>

The DoD Standard identifies mandatory baseline requirements for Records Management Application (RMA) software used by DoD Components in implementing their records management programs. Use of the Standard allows Components to procure, test and implement compliant records management application software. In addition, the Standard defines required system interfaces and search criteria that RMAs shall support, outlines requirements for classified marking and access control, and identifies non-mandatory features deemed desirable for RMA software. It includes requirements for managing Freedom of Information Act and Privacy Act records. The Standard also includes requirements for RMA-to-RMA interoperability, archival transfer to the NARA, and the use of metadata. Information sharing is a key focus for the Department and the use of metadata is an important element in DoD's information sharing strategy. Metadata can also be an important tool used for records management, which is why it was included in the latest revision of the standard.

We are pleased that the DoD Standard was endorsed by NARA in 2008 for use by all Federal agencies. NARA's endorsement states that the Standard complies with NARA's instruction for transferring permanent electronic records to NARA and the official endorsement is included in its entirety in NARA Bulletin 2008-07.   Through this endorsement, NARA has recommended that agencies use the DoD Standard and the DoD-certified products as a baseline when selecting an RMA to manage an agency's electronic records.

Currently, the Joint Interoperability Test Command (JITC), under the Defense

Information Systems Agency, manages the compliance testing process for the DOD

Standard and certifies records management applications as compliant to our Standard.

An example of how this standards process has influenced our enterprise-wide

environment can be seen in the deployment of a tested RMA solution on the Navy

Marine Corps Intranet, which serves well over 350,000 users. DoD Components use this

Standard in the implementation of their records management programs to include

certification testing by Joint Interoperability Test Command (JITC). The DoD Standard

has also been used by some states, other Federal agencies and even some in the

international community. It is open enough to encompass different functions and

infrastructures, but serves to assure consistently useful electronic records products.

PLANNED UPDATE TO DOD DIRECTIVE FOR RECORDS MANAGEMENT

Just as the information management environment is continually changing, so must

our policies for records management need to adapt to stay relevant. Consequently, we are

in the process of revising the DoD Directive for Records Management. Our revised

directive will incorporate the NARA Federal Enterprise Architecture Records

Management Profile. We are also building records management requirements into our

DoD Information Technology (IT) governance processes for capital planning, enterprise

architecture, business process design, and system development life cycle. To avoid

having to retrofit IT systems with RM software, we plan to ensure that records

management is built into newly created electronic information systems and that legacy

systems, in their next stages of delivery, include an electronic records management solution. The revised Directive will ensure interoperability of electronic information at the DoD Component and interagency levels where electronic records are shared or transferred to another federal agency. And finally, to focus on comprehensive training, DoD will ensure its employees and contractors receive records management training to include understanding user responsibilities in managing DoD information as records, knowing the proper records disposition procedures, and learning to use records management software tools, if applicable.

SUMMARY

In conclusion, the Department is focused, in concert with NARA, on creating responsive policies for ensuring all information systems are developed with records management in the forefront and not as an afterthought. We are committed to successfully managing a diverse records management portfolio to comply with NARA guidance while leading the Department toward service-oriented enterprise operations and aggressively working to move away from paper-based, labor intensive processes.