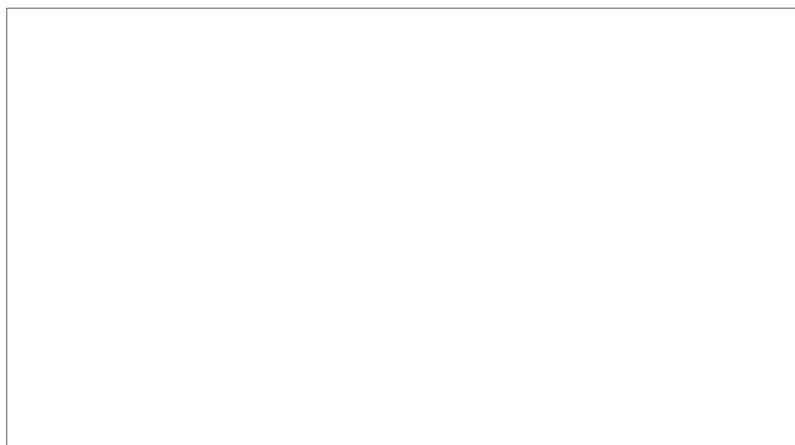


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MEMORANDUM FOR: Director, Office of Information Technology
FROM: Information Management Task Force
SUBJECT: Task Force Report

The Information Management Task Force was established to promote a smooth integration of IRMD and the MI career services information discipline into the mission and functions of OIT and the MZ career services. Subsequently, Information and Privacy Division (IPD) and Classification Review Division (CRD) were also moved into OIT. D/OIT advised the task force to continue to focus only on the IRMD/MZ relationship and not to include IPD or CRD as part of the study. The results of the Task Force is presented in the attached.

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Information Management Task Force Report

- I. Executive Summary
- II. Findings/Conclusions
- III. Summary of Recommendations
- IV. Appendix

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I. EXECUTIVE SUMMARY

To merge or unify the two career services, a rallying point needs to be established from which they can join efforts in a common cause to benefit themselves and the Agency. The task force has concluded that this rallying point is the management of an electronic records program. Success in this area requires the convergence of information management and data processing talents. Combined within the appropriate framework, it offers the evolution of a single culture, eliminates the current void in managing electronic records, enhances management of online storage devices and provides the base for OIT to emerge as a leader for the Agency in information handling.

OIT's leadership in electronic records requires the development of an active program and the demonstrated interest and commitment of senior management. Standards for the maintenance and disposition of machine readable records must be developed and a policy implemented which assures total information management needs are considered in the development of new systems. To meet this challenge, the task force recommends that IRMD be restructured along functional boundaries with electronic records responsibility embedded within each function and the staffs augmented with ADP professionals.

Information Management Officers (IMO) must be separated from registry functions and their expertise expanded to include ADP responsibilities. This is an absolute requirement for the success of an electronics records program and further bonds the two career services into one. The IMO position should be one of the most attractive assignments in OIT and its visibility into the various Agency components could also be used to market OIT services. A branch should be formed within the restructured IRMD, consisting of Directorate and component IMO's. Additionally a program similar to the Development Group's DOS program should be implemented for the management and development of all IMO's.

To take full advantage of the merger and to enhance the career opportunities of OIT's entry level personnel, the task force recommends the consolidation of Registries, ISC's, DAC's, Print output and Cable distribution into a single division. Besides enhancing the use of personnel performing similar functions, the merger is required to promote the full range of OIT career opportunities and puts the Office in a position to exploit its single point customer services. The services provided within the ISC's should be expanded to include other mainstream OIT support. By combining these multiple customer service functions in various central locations, OIT can cultivate the best qualities of each to better serve its customer population, providing them with the necessary information skills and tools to take advantage of the services offered by OIT.

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The merger increases the paths that entry level employees have to a career in OIT. This is advantageous for the Office and the employee, raising the probability of a challenging career opportunity for everyone. However, traditionally the recruitment of entry level personnel has been highly competitive resulting in the placement of artificial walls which placed a barrier between the employee and other OIT opportunities. The task force recommends that an entry level personnel management program be established to introduce new personnel to the various OIT disciplines. This program, consisting of formal and on-the-job training, should be under the management of the Human Resources Program (HRP). With centralized control OIT can better broker staff assignments based on Group needs, office priorities and employee career choices.

In making these recommendations, the Task Force took into consideration the ongoing cultural change in OIT and the pressures associated with the new building activities. We believe that they can be implemented in this era of unprecedented office challenges with minimum effort and in fact, place the Office in a better posture to meet these challenges.

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II. FINDINGS AND RECOMMENDATIONS

A. OIT LEADERSHIP

Increasingly, information is recognized as the life blood of modern organizations. Technological advances have provided systems and information networks for transmitting digital and textual information in near real time. While increasing productivity and accelerating the exchange of information, new technology has also accelerated the growth of all forms of information requiring storage, management and review. Federal laws, statutes, and regulations dictate responsibility for an effective and efficient records disposition process as part of an overall records management program.

Previous Records Management programs have been less than successful in influencing standards and establishing policy and direction across the Agency. If OIT is to provide leadership, it must make a fundamental commitment to deal with these issues. If OIT expects to apply records management philosophy across the Agency, OIT must initiate an internal awareness and education process. An office public relations program consisting of briefings and seminars citing actual case studies, stressing vital records, historical records, FOIA, and legal requirements needs to be provided.

OIT, as a leader in information technology, must extend its leadership to the entire life cycle of a record regardless of the physical form. OIT should take advantage of its total information management responsibility and set the example of good records management practices.

B. INFORMATION MANAGEMENT RESOURCE DIVISION (IRMD)

The trend over the past several years has been to evolve the organization of Information Resources Management Division (IRMD) around new problems and issues. Consequently, it has become an organization of small, somewhat disjointed units, which meets the statutory requirements for an Agency Records Management program, but is basically functioning in a reactive mode. This has diluted its efforts to bring a forward-looking approach to the Agency records management program, especially in the area of electronic records.

IRMD as it exists has no chain of command structure for personnel assigned to registry and IMO positions. This lack of management direction reduces the effectiveness of internal communications and promotes inconsistencies. There are no uniform position descriptions or standards for measuring performance. PAR's are prepared and reviewed on component IMO's with no input from Directorate IMO's or IRMD. The Directorate IMO has no input into the selection, evaluation or rankings of IMO's assigned to their directorate. As a result, an environment has been created that prohibits management from providing guidance, makes them unaware of personnel related problems and builds a false impression

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that management does not care. While steps have been taken to improve this situation, it has not changed.

In order for OIT to meet the challenges of the future, to enhance the utilization of its resources and to establish a foundation for leadership in information management, we recommend the current IRMD structure be changed as follows:

- o Merge the Registry/Information Service Center (ISC) functions with the Data Access Center (DAC) and similar customer oriented functions.
- o Move the software development function in IRMD to Development Group (DG/OIT). DG will be responsible for the continued development of TRIS, IPS, RAMS, ARCINS, and other like systems to support information management.
- o Modify the Information Management Career Development program (IMCDP) to meet the skills certification required of the OIT IMO position.

As a result of the above moves, the remaining organization will be in a better position to concentrate on all aspects of information management. Specifically, this includes the records management process from creation through disposition. This organization can now be known as the Information Management Division (IMD) and structured into four branches with a focus into electronic records embedded within each branch. In order to accomplish this task, the existing staffing complement must be augmented with ADP professionals. These branches would have the following responsibilities:

Design and Creation Branch

Responsible for developing and implementing records management standards and programs which apply to the creation of all types of Agency records.

Maintenance and Use Branch

Responsible for the development of records management standards and programs concerning the maintenance and use of Agency records. Ensure that records are filed and maintained for rapid retrieval.

Appraisal and Disposition Branch

Responsible for ensuring that permanent records are preserved and that records no longer needed for current use or legal requirements are promptly destroyed. Also responsible for developing comprehensive records schedules that will describe all records in the custody of the Agency.

Dispersed Information Management Branch

Manages Information Management Officers on rotation to Agency

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components and provides advice and assistance on matters relating to information management and control.

See Appendices for additional information.

C. ELECTRONIC RECORD POLICY

Current efforts in the area of Electronic Records Management are devoted to an inventory of existing systems and the establishment of records schedules. The majority of these systems will be replaced in the near future and very little records management input is being included in their system design and planning efforts. In addition, other areas such as PC's, Electronic Mail, LANS/File sharing and archiving of electronic records have not included Information Management input. This lack of involvement may be due to the small size of the Electronic Information Control Branch (EICB/IRMD) and that ADP professionals are not included in the staff. While a branch dedicated to electronic records gives it proper management perspective, it appears that it is treated as a separate entity rather than part of a total information management program.

Electronic Records Management is an area where OIT has the opportunity to establish Agency standards and assume leadership in articulating and implementing policy. We recognize that this subject is complex and that current technology may not be mature enough to support potential implementations. In spite of this, OIT must move forward with some positive steps and provide adequate staffing, ensure a proper mix of skills and develop plans to deal with this complex issue. Previously the Task Force recommended that electronic records responsibilities be distributed across functional lines. This will promote an environment where Information Management and ADP personnel can interact to share their knowledge and raise the probability that all aspects of Information Management issues will be addressed.

This new electronic records program can further integrate the Information Management and ADP disciplines by addressing issues related to the management of direct access storage devices. Physical storage of media in safes is controlled and the same discipline should be applied to direct access storage. At present, the major focus of direct access storage management is toward procurement and allocation, with little thought given to the fact that direct access storage is in effect an electronic safe. With the continued explosion of information, the premium cost of space, and statutory requirements for information control, it is advantageous to apply records management techniques to this resource.

We recommend that a more stringent direct access storage allocation process be initiated, with the IMO responsible for monitoring and enforcing a direct access storage access justification process similar to that used for physical storage.

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D. INFORMATION MANAGEMENT OFFICERS

Information Management Officers (IMO's) are responsible for implementing information management policy and guidelines throughout the various Agency components. This task requires dedicated professionals who are knowledgeable in the management of information requiring special handling. However, many IMO's are active in registry work, some even serve as the Registry Chief, which results in information management issues becoming secondary matters. This is clearly evident in OIT where the IMO is often detailed to doing mundane clerical and registry functions. This prohibits and discourages the development of a fully trained IMO whose responsibilities are to ensure that all aspects of Information Management are being carried out effectively.

The IMO must be separated from all aspects of the registry environment. In addition, ADP Control Officer functions should be included in the IMO's responsibilities. The merger of these functions, combined with an additional emphasis in ADP, will provide the initial background IMO's will require to manage electronic information. This will provide the talent necessary to better serve the customer and market OIT services throughout the Agency. This restructuring of the current IMO role into a highly visible, prestigious position provides career enhancement for all OIT employees and a bond for the various OIT philosophies.

The high visibility of this position warrants the establishment of a skills certification program. A program for IMO's exists today in draft and should be reviewed and expanded to include ADP responsibilities. A skills certification program should be introduced which will ensure that prospective IMO's meet the required qualifications. Incumbent's who do not meet certification standards should be scheduled for required training as soon as possible. Concurrently, personnel with a ADP background should be encouraged to participate in the IMO certification program. This is an area of opportunity to begin blending the experience and knowledge of the ADP and Information Management career services into a single culture.

E. INFORMATION DISTRIBUTION DIVISION

There are many similarities among the personnel and functions performed by Registry, Information Service Center (ISC), Data Access, Print output, and Cable Distribution. The majority of personnel are all entry level and perform a common work function, which is the sorting and distribution of a product--correspondence, cables, or computer output for customers. While there are unique functions each group performs, past experience at existing ISC's has demonstrated that these functions can be combined, enriching the job and increasing productivity. However, the current management responsibility of these functions distributed across divisional boundaries has clouded opportunities to further integrate their functions into one working element.

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We recommend a consolidation of the functions and personnel involved in Registries, Information Service Centers, Data Access Centers, Print Output and Cable Distribution into the Data Voice Support Division. To better identify the division, we recommend the name be changed to Information Distribution Division (IDD) and that it be restructured in the following manner:

- o Establish a Branch consisting of the functions and positions of the Headquarters Distribution Section/Data Distribution Branch with the Operation Group Cable Distribution activities.
- o Establish a Branch combining the functions and positions of Information Services Branch/IRMD and the Remote Distribution section of Data Distribution Branch.
- o Establish a branch for management of OIT personnel staffing Agency Registry positions.
- o Leave the Voice Operations Branch function intact.

See Appendix 'B' for suggested organization of the new Information Distribution Division.

Most of the Registry slots are owned by components who view the incumbents as their own resources assigned to meet their specific needs. If the Registry/ISC function is combined with other OIT disciplines as recommended, the flexibility required to cross train, develop and assign personnel may be tempered due to slot ownership. An analysis should be performed to determine slot savings when these functions are consolidated. The savings could be used to broker an ownership agreement where some slots could be given back to the component to do as they please in exchange for OIT ownership of the remaining slots. Even where savings are not apparent, the value added to OIT services and potential to enhance versatility of Agency employees warrants slot negotiations.

F. INFORMATION SERVICE CENTERS (ISC)

The planning and implementation of Information Service Centers (ISC) has been in place for several years and there are currently ISC's in operation at [redacted] AMES, [redacted]. The original definition of an ISC is a registry which supports multiple components with minimum exposure into data distribution. However, there is confusion as to their exact purpose, function and overall direction within the OIT environment. This may be the result of the decision to bring IRMD into OIT as a unit and let it continue, for all practical purposes, to function independently. While there have been previous discussions to include some Data Access Center (DAC's) responsibilities

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within the ISC's, there is confusion as to what agreements or plans were actually formulated especially with regards to staffing. A current example of the continued existence of this confusion is the ISC.

A concentrated effort to include all data and cable distribution as part of an ISC should be initiated and a plan articulated. Bringing these elements together within a single division will allow for proper management focus and direction. It will provide the catalyst for the development of the OIT culture among our entry level personnel, open various career tracks, enhance productivity and add flexibility in the use of existing personnel resources. The criticality of this action is heightened with the approaching move to the new building and the opportunities available within the tower locations.

In addition, the enhanced ISC could then serve as the vehicle to provide various OIT mainstream services from a single customer location. Highlighted among these services could be the distribution of userid's and passwords, an extension to the PC product store, onsite consultants to assist in all OIT support areas, product demonstrations and tutorials. However, it is not suggested that personnel performing these consulting tasks be assigned to the manager of the ISC, rather that the functions be co-located.

G. ASSIGNMENTS

Two former OIS assignment panels continue to exist in OIT. One is for GS-11 and below and a senior panel for GS-12 and above, both chaired by the former DD/OIS. These panels are not meeting the current needs of OIT's to develop and provide qualified personnel to Agency components.

If the restructure of IRMD to IMD and a consolidation of DAC's, Registries and Information Service Centers takes place, we recommend the following changes in the assignment process:

- o The Dispersed Office Support (DOS) program used by Development Group be a model for the management and assignment of information management personnel. This would include the personnel assigned to IMD and those on rotation to the Information Service Division (IRD), to the Regulatory Policy Division (RPD), and to Office and Directorate IMO positions. This program can be known as the Dispersed Information Managers (DIM) Program, responsible to Chief, Customer Service Group (CSG), delegated to C/IMD. This plan is discussed in greater detail in Appendix "C".
- o Assignments of personnel in the proposed IDD would be the responsibility of Chief, Customer Service Group (CSG), delegated to C/IDD. The C/IDD would chair a panel that would include each IDD branch chief and the Career Management Officer (CMO).

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H. ENTRY LEVEL PERSONNEL MANAGEMENT

Many positions in OIT are filled by personnel who at entry do not possess the full range of professional skills required of the position. With the recent growth in the number of these positions and the additional spread across organizational boundaries, the internal competition for this pool of people has increased. Traditionally, this has resulted in the placement of artificial walls. These barriers raise concerns which are especially apparent in Operations Group (OG) where the traditional pipeline of entry level people has been moved to Customer Services Group and appears unavailable to OG.

If this continues, we deny employees the opportunity to be exposed to the entire spectrum of OIT career opportunities. OIT has not been committed to an office entry level program with an end goal. Individuals are often assigned to permanent positions without formal training, either on the job or externally. This results in a one dimensional employee which hinders the flexibility of managing personnel resources in our highly diversified office.

To best meet staffing requirements and office level priorities in a fair and equitable manner, an entry level program is required. This gateway into OIT should be managed by HRP and offer employees the opportunity to spend time in each of the three major disciplines (Information Management, Communications, Data Processing). When completing this program, employees would enter their journeyman assignment based on their choice, balanced against the needs of the office. See Appendix D for details of the program.

I. RECORDS CENTER

Storage of records continues to be a major records management problem. The Records Center is nearing its maximum storage capacity and based on current projections will exceed its capacity in the not too distant future. IMO's, who play a major role in storage and retrieval of records, lack familiarity with the procedures of the Records Center. The volume of paper, film, magnetic and other media preclude efforts to convert this data to some other media to recover space. Additionally, there has been long standing confusion with regards to a policy pertaining to the storage of vital records tape. This has led to the unnecessary retention of a large volumes of tape.

The storage and retrieval of electronic records has not been explored. Aside from using ADP resources to perform indexing and assist in retrieval functions, very little has been done to bring automation into the records storage arena. Greater emphasis on using new technology to automate these functions would promote job opportunity and enrichment for ADP and Information Management personnel.

We recommend an immediate resolution of the vital records issue,

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initiation of a detailed analysis of the entire physical record/archival process and development of a long-term plan. In addition, the skills certification program for an IMO should include an orientation tour at the Records Center.

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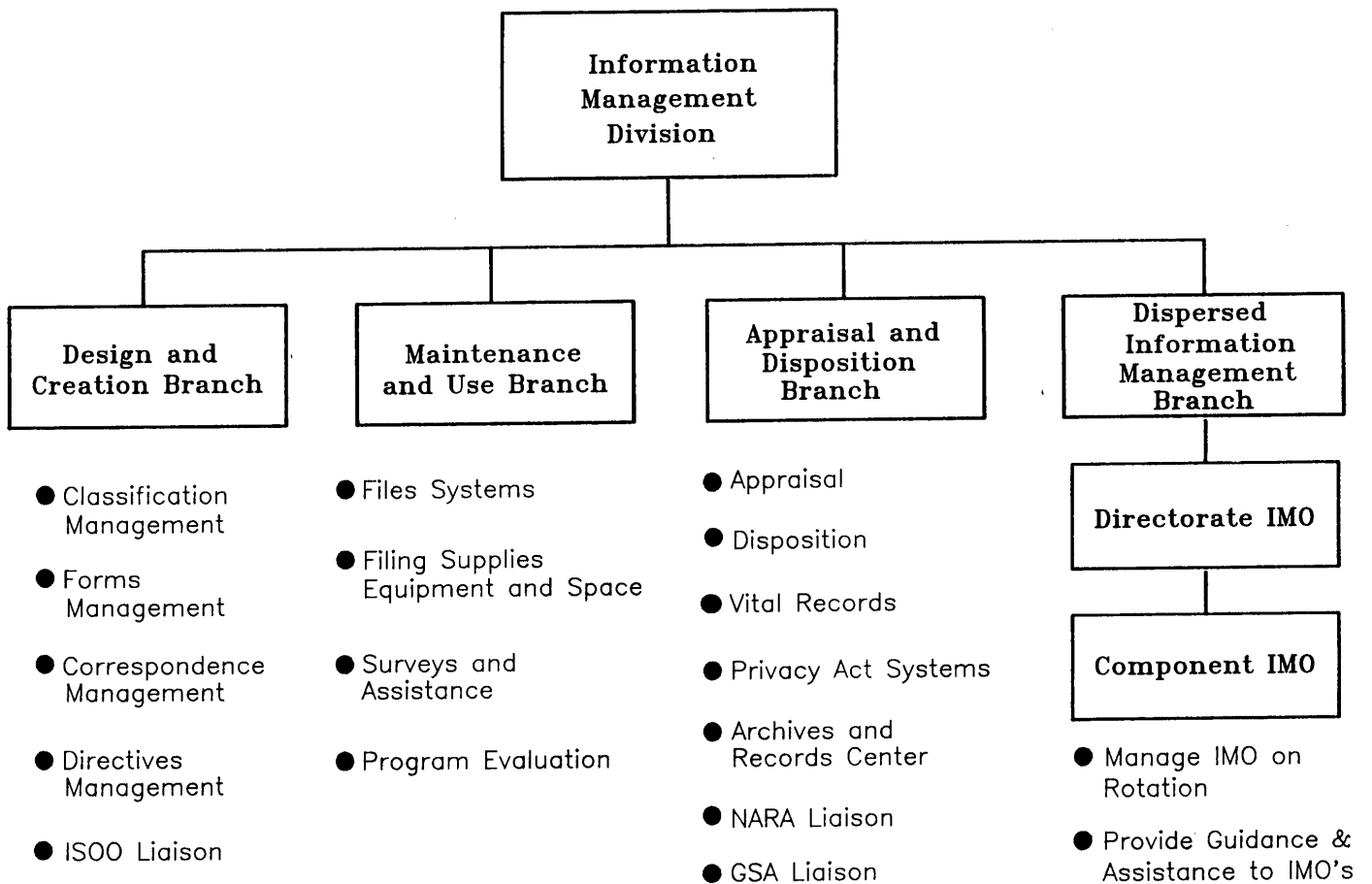
IV. RECOMMENDATIONS

The task force recommendations are summarized below:

- Establish a position of leadership in Informations Records Management.
- Establish the IMO as a prestigious, highly visible position.
- Change the current IRMD management structure.
- Include an ADP skills mix throughout the Information Management structure.
- Integrate direct access storage device management as an information management function.
- Ensure that the IMO function is separated from the registry and Information Center Service functions.
- Establish the IMO as a highly visible OIT marketing position.
- Establish an IMO skills certification program.
- Consolidate the functions of the registry, DACs and cable mail handling into one division.
- Provide all registry, cable and DAC functions from Information Service Centers.
- Expand the use of the ISC as a marketing center for OIT services.
- Establish a DOS like program for Information Management Officers.
- Establish an OIT entry level program.
- Resolve the vital records tape issue.
- Initiate an analysis of the entire Records Center process.

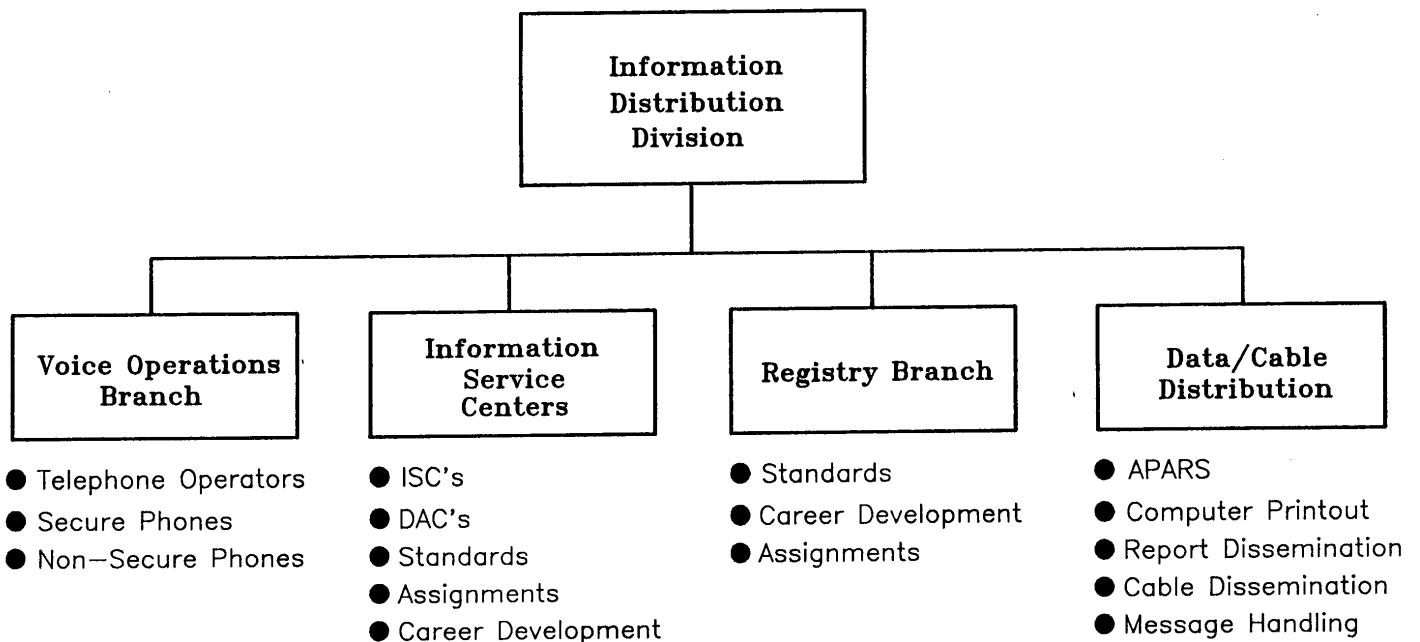
Appendix A

Proposed Organization Of Information Management Division



Appendix B

Proposed Organization of Information Distribution Division



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Appendix 'C'
DIM Program

The assignment and management of Information Management personnel should be modeled after the Dispersed Office Support (DOS) program used by the Development group. And, as such, the personnel assigned to the Records Management Division (RMD), and those on rotation to the Information Review Division (IRD), to the Regulatory Policy Division (RPD), and to Office and Directorate IMO positions will be managed by the C/IRMD through the IRMD Career Management Officer.

Future assignments of IMO's should take into consideration job requirements, skills of the careerist, job preference of the careerist and the desires of the host component. Rotational positions as well as positions on the IRMD staff should be managed by the C/IRMD. Rotational positions should include Office and Directorate IMO's, IPD case officers and RPD editors. IMO's with experience in the administration of the FOIA/PA/EO program are better prepared to perform IMO and staff duties and conversely people with IMO experience are better prepared to be IPD case officers.

The IMD assignment process should include a statement of requirements for each job and there must be a record of the qualifications of each careerist. When a vacancy occurs, a vacancy notice should be issued. The top three candidates should be chosen by the IRMD/CMO and approved by the C/IRMD. Their folders should be forwarded to the manager having the vacancy. The manager would interview the candidate(s) and notify the IRMD/CMO of his/her choice. The IRMD/CMO would review the response and forward it to the C/CSG through the C/IRMD for final approval. IRMD/CMO would plan for the orderly reassignment of all IRMD and rotational careerist with input from the careerist. Career counseling and career development will be provided to all careerist(s). In cooperation with HRP, the CMO would recruit new personnel. Vacancy notices and reassignment questionnaires would be the key tools used by CMO in managing personnel resources.

Develop an associate Information Management Officer program to be administered by IMD with assistance from HRP and Administrative support from the Personnel Branch of the Support Staff, OIT.

Establish a development and certification program for Information Management Officers and administered by IMD with assistance from HRP and administrative support from the Personnel Branch, Support Staff/OIT.

Establish PAR writing and ranking standards for Information Management personnel. These same standards can be used for evaluating personnel detailed within the office and on rotational assignments.

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Develop standard position descriptions for all Information Management Officers including IMD, and rotational positions in ISD, RPD, and the IMO positions at all levels.

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Appendix 'D'

Entry level Personnel Management Program

Assign the responsibility for overall management of this program to the Management Group, Human Resource Program. Administrative support would come from the personnel component of the Support Staff. Individuals selected to participate in this program would receive a variety of scheduled training and rotational positions during a specified period. Upon completion of the program, individuals would receive appropriate assignments within OIT. The program should be conducted for a class of at least twelve participants, rather than for one individual at a time.

The duration of the program should be approximately 24 months and consist of three program cycles per year with start-up dates in early February, June, and October.

New OIT employees GS-6 and below entering the areas of computer operations, telecommunications and information management will be assigned to this program. All participants will be full time staff employees. The program will be advertised within OIT and, when appropriate, elsewhere in the Agency. However, the majority of the participants will be recruited directly for the program.

After a six month period of training, program participants will experience six month assignments in all three of the general areas of OIT--computer operations, telecommunications, and information management. Each of the participating OIT Groups will provide a given number of interim assignments for program participants. The program will be designed to give the participants a relatively uniform set of experiences.

The length of the assignments may vary according to the nature of the position. The assignment should be of sufficient length to ensure that the participant has the opportunity to make a meaningful contribution. Program assignments will not be made to fill temporary gaps in the line components. The program is intended to facilitate the Office objective of building a professional cadre. Whatever assignments are selected, it is recommended that every participant experience at least one shift work assignment.

In addition to the on the job training received during the interim assignments, a curriculum of formal training for the participants in this program should be developed. For example, new EOD's will need an orientation program. The specifics of the training program should be formulated in a coordinated effort between the Training and Information Branch and the Program Chief.

The Program Chief would be responsible for drafting the Performance Appraisals of the program participants. In meeting this responsibility, the Program Chief will rely on reports from the participants supervisors

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during the interim assignments. These reports will be due to the Program Chief within two weeks after the completion of the interim assignment.

The entry level program will lead to a formal certification procedure. At the end of the two year period, participants who obtain certification will be permanently assigned to an appropriate position in OIT. Barring a critical need in OIT, the participants should be assigned to a career path based on their personal interest.