e-Records Conference 2007

e-Records Management:

You Can Do IT!

A Conference for Texas State Government and Universities

Sponsored by the
Texas State Library and Archives Commission (TSLAC)
and the
Texas Department of Information Resources (DIR)

Texas State Library and Archives Commission

DIR
Department of Information Resources

www.tsl.state.us/slrm/conferences/erecords.html

Agenda

Conference Agenda

Registration and Exhibit Area Open	8:00 - 8:30 a.m.
Welcoming Remarks	8:30 - 8:45 a.m.
DIR Speaker	
Dr. Michael Heskett, State Records Administrator	
Featured Speaker—Jesse Wilkins, Principal Consultant, Access Sciences	
Collaboration: Key to Successful Information Management	8:45 - 10:00 a.m.
Break and Exhibit Area Open	10:00 - 10:20 a.m.
Electronically Stored Information: A Checklist	10:20 - 11:15 a.m.
Managing ERM without an ERMS	11:15 a.m. - Noon
Lunch (provided) and Exhibit Area Open	Noon-1:00 p.m.
Afternoon Session	
Collaboration: Key to Successful Information Management	1:00 - 2:00 p.m.
Managing Instant Messaging	2:00 - 2:40 p.m.
Break and Exhibit Area Open	2:40 - 3:00 p.m.
Blogs, Wikis, and Other Collaborative Tools	3:00 - 4:15 p.m.

The exhibit area will be open during registration, the mid-session breaks, and lunch.
Please visit the exhibits to learn more about related products and services.

About e-Records 2007

Welcome from TSLAC and DIR

The Texas Department of Information Resources and the Texas State Library and Archives Commission welcome you to the e-Records Conference 2007.

Over the years, we have provided these conferences for Information Resources Managers, Records Management Officers, and other Texas government staff who have the common goal of managing government information, but an uncommon approach to accomplishing this daunting task. We bring together an extraordinary group of diverse government staff to listen, learn, evaluate, connect and return to their offices ready to collaborate in effective ways to gain control over an ever-growing volume of government data.

When establishing and managing information management systems, we must consider retention requirements; the Public Information Act; privacy laws; audit standards; legal requirements; historical value; staff needs; technical systems and standards; a complex legislative environment; and the service requirements and expectations of the residents of Texas. It is in finding common ground that we find uncommon success.

This year's conference focuses on implementing a program for effectively managing electronic records, including email. Jesse Wilkins has worked in the document industry for twelve years as a vendor, user, and consultant. He has worked with public and private sector clients to develop strategies, design processes, and implement systems to manage electronic records, email, ECM, and collaboration tools more effectively.

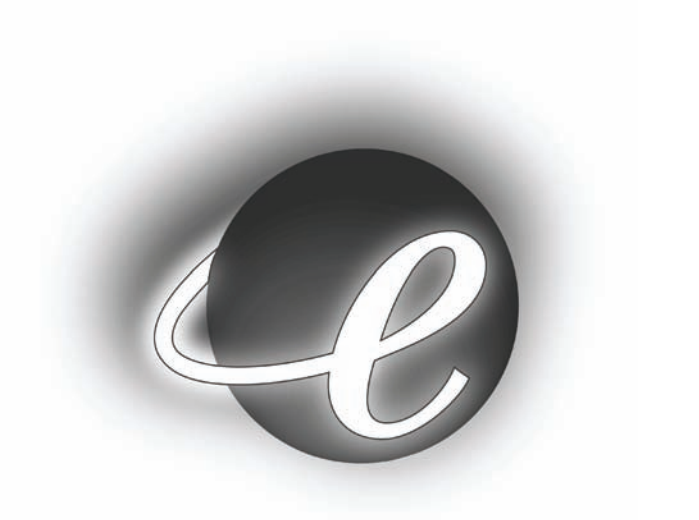
It is with great pleasure that we welcome each of the vendors that are here today. They are an integral component of the partnerships enabling Texas government organizations to move forward in the transition from paper to pixels. They stand on common ground with every level of government in Texas in their desire to implement more effective systems for information management and access. Please take advantage of the opportunities to visit with the vendors who join us here today.

We are so glad you are here. We look forward to bringing you an informative program and the opportunity to connect with other individuals seeking to manage electronic records legally and effectively.

Welcome to the e-Records Conference 2007!

Texas State Library and Archives Commission

DIR
Department of Information Resources



Agency Notes

Sponsoring Organizations

DIR

As the chief technology office of the State of Texas, DIR's mission is to support the effective and efficient use of public funds by promoting and achieving a shared vision where the state maximizes the value of its technology investment by identifying common areas of interest, using technology to advance agency-specific missions, and preserving flexibility to innovate.

DIR is responsible for managing consolidated data center services, providing enhanced and expanded telecommunications services, assisting agencies in providing secure, reliable, statewide IT operations, developing and implementing statewide security policies, standards, guidelines, and procedures, negotiating and managing statewide agreements for quality IT products and services, and managing the TexasOnline project, among others. To read more about DIR, visit our Web site: www.dir.state.tx.us.

TSLAC

The Texas State Library and Archives Commission (TSLAC) is responsible for providing guidance and recommendations to uphold select legislative mandates. The division charged with coordinating the e-Records conference is State and Local Records Management (SLRM). SLRM assists Texas governments in establishing and implementing records management programs. Serving exclusively state agencies and local governments, the division offers training classes, consulting services and forms needed for all aspects of records and information management. Whatever the situation, SLRM staff are always close at hand, ready to help. To find out how SLRM can help you, visit our Web site: www.tsl.state.tx.us/slrm.

Speaker Notes

Jesse Wilkins

Jesse Wilkins has worked in the document industry for twelve years and is a Principal Consultant with Access Sciences. His areas of expertise include electronic records management, email management, document imaging, and collaborative tools. He has worked with hundreds of clients to design, implement, and optimize information management systems and processes.

Jesse is a frequent industry speaker and is recognized for his ability to communicate technical concepts clearly. He has spoken at AIIM 2003-2007, ARMA 2003-2007, the ARMA E-Discovery Conference, and dozens of AIIM and ARMA chapter meetings.

Jesse is active in records and information management industry associations, serving on the ARMA International Board of Directors, as Chair of the ARMA Communications Advisory Committee, and on the TAWPI ICP Blue Ribbon Commission. He served as a Director of AIIM International from 2004 to 2005 and previously served as Chair of the AIIM Professional Advisory Council, Chair of the AIIM Master Accreditation Committee, and Chair of the ARMA Technology Advisory Committee. He has served on the conference program teams for ARMA 2003, ARMA 2004, Xplor 2004, AIIM 2005, and ARMA 2006 and on the CompTIA CDIA+ Post-Cornerstone Committee. He has served on the AIIM Rocky Mountain Chapter executive committee since 2002 including two years as President.

Jesse has participated in many ARMA and AIIM standards efforts and has served on the ARMA Professional Competencies Task Force, the ARMA Email Management Task Force, the AIIM Document Management Technology Committee, and the AIIM Terminology Committee. He served as the Chair of the ARMA Glossary Task Force, culminating in the April 2007 publication of the ARMA Records and Information Management Glossary, 3rd Edition.

Jesse has developed and delivered technical training for the CompTIA CDIA+ and TAWPI ICP programs to more than 400 students since 2002. Jesse is an accredited instructor for the AIIM Electronic Records Management and AIIM Enterprise Content Management Master Classes. He is currently engaged to develop the AIIM Email Management Master Class for AIIM International.

Jesse has received the AIIM MIT, AIIM LIT/EDIM, AIIM LIT/ECM, AIIM LIT/ERM, AIIM ERM Master, AIIM ECM Master, Xplor EDP, CompTIA CDIA+, and TAWPI ICP designations. In 2006 he received the AIIM Education Award.

Jesse is based in Denver, Colorado and is a professional member in good standing of AIIM, ARMA, CompTIA, FRMA, NAGARA, TAWPI, Xplor, the American Society for Training & Development, and the National Speakers Association.

Exhibitor Contact Information

The Texas State Library and Archives Commission (TSLAC) and the Department of Information Resources (DIR) would like to thank the following vendors for participating in this conference.

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Please visit the exhibit area to learn more about products and services available.

AM Sessions

Feature Presentation

Part 1:

Collaboration: Key to Successful Information Management

Jesse Wilkins, Access Sciences Corporation

e-Records Management: : You Can Do IT!

Jesse Wilkins
October 30, 2007

Collaboration: Key to Successful Information Management

e-Records Conference 2007
Session 1

Agenda

- A record by any other name…
- RM vs. IT: The way the world looks
- RM and IT: Partnering for success
- Recommendations for bridging the gap

A record by any other name…

- Record
- Document
- Archive
- Email management
- Records management

Record

- RM: information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business
- IT: A group of related fields that store data about a subject (master record) or activity (transaction record). A collection of records make up a file.

Source: TechEncyclopedia.com

Definition for “state record”

6.91. Definitions

State record-As defined by the Government Code, §441.180(11), any written, photographic, machine-readable, or other recorded information created or received by or on behalf of a state agency or an elected state official that documents activities in the conduct of state business or use of public resources.

Source: TSLAC Electronic Records Standards and Procedures, State Agency Bulletin Number One

Document

- RM: recorded information or object which can be treated as a unit
  - All records are documents, but not all documents are records
- IT: The individual electronic objects on servers, workstations, and laptops, such as PDF, Word, etc.

Archive

- RM: The documents created or received and accumulated by a person or organization in the course of the conduct of affairs, and preserved because of their continuing value.
- The building or part of a building in which archives are preserved and made available for consultation.
- IT: Offline or backup storage, e.g. to tape or optical media
- Might include offsite storage of backup media

Email management

RM:

- Email messages must be managed according to content - & therefore declared as records
  - Which may mean print & file today

IT:

- Sets up and ensures access to inboxes
- Manages storage & access control
- Backups & availability

Records management

- RM: the application of management techniques to the creation, use, maintenance, ensuring access to public information, and reducing costs. Includes:
  - Development of retention schedules
  - Management of filing and information systems in any media
  - Protection of state records that are vital, archival, or confidential
  - Storage of inactive records
  - Control of forms, reports, and correspondence
  - Access to public
- IT: Keeping the systems running and accessible

Four principles of RM

1. *Records must be retained in accordance with specified records retention schedules – to comply with statutory and regulatory requirements as well as meet operational business needs.*

Electronic Records Management Survey: Call for Collaboration, Cohasset Associates, 2007.

Four principles of RM

2. *For designated records that impact litigation and regulatory inquiries, established retention schedules must be suspended and those records held indefinitely to ensure their availability – and thereby comply with court-ordered record holds and compliance-related records requests.*

Four principles of RM

3. *There must be proactive preservation initiatives (migration) in order for electronic records to be accessible many years after they were created – due to the intrinsic technological obsolescence of the computer hardware and software used to create, retrieve, and store electronic records.*

Four principles of RM

4 . *L ife cycle management of electronic records requires collaboration between record owners and experts in a number of technical and support functions.*

Records Management
and
Information Technology:

The way the world looks

RM vs. IT: the way the world looks

- Electronic records are not managed the same way, or as effectively, as analog
- IT plays the dominant role in electronic records projects
- Records managers are losing their influence as electronic RM emerges – while the role of IT in these initiatives is increasing.

The Role of Electronic Records Management in North American Organizations, Forrester Research, 2004

RM and IT

"IT is RM's most important stakeholder – even more important than legal. No significant RM initiative can even be attempted – let alone successfully accomplished – without a close partnership with IT."

– David O. Stephens, CRM, FAI

Electronic records management

- 54% IS/IT responsible for day-to-day management of electronic records
- 44% do not believe IS/IT understands lifecycle of electronic records
- 42% do not believe their IS/IT staff realizes the need to migrate electronic records to comply with retention policies
- 70% do not have a formal plan to migrate electronic records over time

Electronic records management cont'd

- 99% believe process will be important to future litigation
- 46% not confident they can demonstrate accuracy of ERM processes later
- Who owns retention policies for archives and backups (multiple responses allowed):
  - RM: 47%
  - IT: 58%

RM vs. IT

Records Managers	IT Professionals
Manage records	Manage data and systems
Own records	Own systems and information on them
Delete records based on retention	Delete data - or not - based on storage requirements
Analog	Digital
Why	How

RM vs. IT cont'd

Records Managers	IT Professionals
Don't understand the sheer volumes of electronic information	Don't understand regulatory requirements and storage implications
Don't understand the complexities of systems or how the technologies work	Underestimate the relationship between content and presentation
Long(!)-term focus	Fire-fighting
Focused on process flows	Ensures the flow of data

RM vs. IT cont'd

Records Managers	IT Professionals
Reports to admin, legal, IT(!)	Reports to executive management, admin, ops
Never have any budget	Never have enough budget
Have very deep knowledge – on esoteric topics	Have widely diverging breadth & depth of knowledge
Don't trust IT	Think RM is a burden

RM vs. IT cont'd

Records Managers	IT Professionals
Don't trust users	Don't trust users
Speak odd language	Speak odd language
Offices separated from rest of organization	Offices separated from rest of organization
Work thankless jobs	Work thankless jobs
Focused on risk management	Focused on risk management

Key concerns for both RM and IT

- Providing efficient access to information
  - Versions
  - Silos
- Containing costs
- Providing effective response to audit or litigation
- Ensuring integrity of electronic records
  - Now and in the future

The bottom line

- Both RM and IT manage information for the organization
- When RM and IT aren't on the same page, bad things happen
- The increasingly electronic world means RM and IT must collaborate effectively!

Records Management and Information Technology:

Partnering for Success

Records processes and IT systems

- General principles
- Inventory
- Classification
- Storage and preservation
- Disposition

General principals

- It is difficult to “bolt on” records management to an existing solution
  - Different repositories
  - Different taxonomies
  - Different granularity of access controls
- Better to build records processes into IT systems
  - Or select systems that can do it already
  - TANSTAAMB

Inventory

- What do you have?
  - Paper vs. electronic
  - Record vs. nonrecord vs. data
  - Specifics
- Where is it?
  - Records center
  - Data center/servers
  - Decentralized/desktop
  - Group storage

Taxonomy and classification

- RM creates the taxonomy and the classification scheme
- IT creates workflow around the classification scheme
- IT ties classification scheme to retention rules
  - ERMS
- RM and IT review and iterate through the rules

Storage and preservation

- Electronic records are fragile
  - Media
  - Hardware
  - Software
  - Content, structure, context
- Some compliance regimes require certain types of storage
- Many records have to be accessible for 5, 50, 500 years

Storage and preservation cont'd

- Records managers know the retention requirements
  - Including those records that must be maintained in analog format
  - Longevity requirements
- IT can translate to technology requirements
  - Systems, configurations

Why disposition?

- The more stuff on the network and in systems, the more to back up
- And the more to restore
- And the more to review and produce in response to audit or litigation
- And the worse IT systems perform
- IT's historical approaches:
  - Quotas and purges
  - Buy more storage
  - "Archive" to backup media

Disposition

- Records should be disposed of at the end of the records lifecycle
- Deleting an electronic record doesn't always delete it
  - Pointers
  - Temp directories
  - Multiple copies on the network
  - Multiple renditions
  - Backups
  - Email as filing cabinet

Collaborative approach to disposition

- Records puts the framework into place
  - Retention schedule
- IT can automate the disposition process
  - But systems need to include failsafes and capability to place and lift legal holds
- Once RM identifies the records to be disposed of, IT disposes of them
  - Unrecoverably
- A note on backups

When disposition isn't an option

- Some records must be kept permanently
- Others must be kept for a *really* long time
- Legal holds put a halt on disposition
  - Backup cycling
  - Server logs
  - Email systems
- RM and legal identify the what, IT the how

Recommendations for bridging the gap

General recommendations

- Establish cross-functional teams to create policies, address issues
- Identify business and technical requirements
- Iterate through key deliverables
- Change management!

Recommendations for IT

- Learn the basics of records management
- Understand and apply lifecycle management practices to electronic records and systems
- Ensure that hold orders are applied to all applicable systems, documents, data, backups
- Ensure that information is destroyed at the end of its lifecycle

Recommendations for IT cont'd

- Work with RM to identify migration issues and requirements for electronic records
- Hold backup media only as long as required for disaster recovery purposes
- Identify tools for automating records processes
  - Classification and categorization
- Look for systems that include required recordkeeping functions as identified by RM

Recommendations for RM

- Reach out to IT proactively
- Add records requirements to IT's RFPs
- Work with IT to set system configurations
- Review classification scheme and retention schedule with IT
  - In particular for IT-unique records
- Be flexible
  - It can't all be done today
  - Beware of "Chicken Little" syndrome

Recommendations for RM cont'd

- Learn about technologies and their impact on the records program and practices
  - Imaging (CompTIA CDIA+, AIIM)
  - Storage (SNIA)
  - Email and collaborative technologies
- Scan the records & technology horizons
  - Automatic classification & categorization
  - Electronic records management
  - Digital rights management

Feature Presentation

Part 2:

Electronically Stored Information: A Checklist

Jesse Wilkins, Access Sciences Corporation

Electronically Stored Information: A Checklist

e-Records Conference 2007
Session 2

Overview

- ESI defined
- The FRCP
- Preservation
- Production
- The e-discovery reference model

ESI Defined

- Electronically stored information
- Rule 34(a)(1): "…writings, drawings, graphs, charts, photographs, sound recordings, images, and other data or data compilations stored in any medium from which information can be obtained, - translated, if necessary, by the respondent into reasonably usable form…"

Federal Rules of Civil Procedure

- Govern court procedures for civil suits in US federal courts
- Serve as basis for most state civil procedures
- Amended December 1, 2006
  - Modernize discovery with respect to electronic information

Changes to FRCP

- Rule 16. Pretrial conference
- Rule 26. General provisions governing discovery and duty of disclosure
- Rule 33. Interrogatories to parties
- Rule 34. Production
- Rule 37. Failure to make disclosures or cooperate in discovery; sanctions
- Rule 45. Subpoena

Rule 16

- 16(b)(5): Adds note that pretrial conference scheduling order may include provisions for discovery/disclosure of ESI
- 16(b)(6): Adds note that order may include agreements between parties for asserting claims of privilege

Rule 26

- 26(a)(1)(B) changes “data compilation” to ESI
- 26(f) requires parties to discuss any issues relating to preserving discoverable information
- Requires a discovery plan
- AKA “meet & confer”
- Must happen within 120 days of filing suit in federal court

Rule 26 cont’d

- 26(f)(3): Plan must address any issues relating to disclosure or discovery of ESI including form or forms in which to produce
- 26(f)(4): Plan must address issues relating to privilege and whether to ask court to formalize agreement in an order

Rule 26 cont’d

- 26(b)(2)(B) Discovery not required of ESI that party identifies as not reasonably accessible because of undue burden or cost
- Can still be ordered for cause
- Party must identify sources of potentially responsive information that is not searched/produced.
- Still required to preserve

Rule 26 cont'd

- 26(b)(5)(B) Information produced that is privileged may be requested to be returned or destroyed
- AKA "clawback" provision

Rule 33

- 33(d) adds ESI for option to produce business records
- Could require responding party to provide assistance in rendering ESI available to requesting party

Rule 34

- 34(a) adds ESI and "data or data compilations stored in any medium"
- 34(b) allows request to specify the form in which ESI is to be produced
- Response required within 30 days of request unless otherwise specified

Rule 34 cont'd

- Response must agree or objection to form(s) of production with reasons
- If objecting, response must indicate forms of production
- If no form specified in request, response must indicate form

Rule 34 cont'd

- if a request does not specify the form or forms for producing electronically stored information, respondent must produce the information in a form in which it is ordinarily maintained or in a form that is reasonably usable
- a party need not produce the same electronically stored information in more than one form

Rule 37

- 37(f) – Courts may not sanction parties for failing to provide ESI lost as a result of routine, good-faith operation of electronic system
- AKA "Safe harbor"

Rule 45

- Numerous changes to add ESI to subpoena
- Numerous changes to allow copying, testing, or sampling
- (D) provides that subpoenas may specify form of ESI to be produced
- 45(d) includes changes outlined in Rule 26 and Rule 34

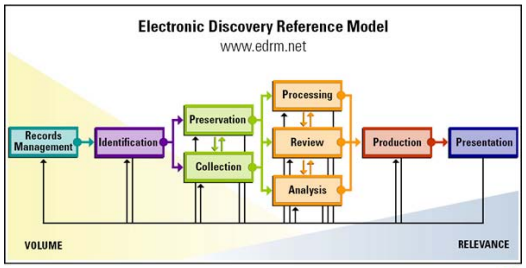
Preservation

- Duty to preserve
  - Upon notice of litigation
  - When litigation is imminent or should reasonably be assumed

Production

- Have to produce responsive information
  - Record, document, data
  - Paper, electronic, “thing”
- Has to be in a usable format

The e-discovery reference model



Source: http://www.edrm.net

The e-discovery checklist

- Before litigation
  - Data mapping
- Upon notification
  - Legal hold
- During discovery
  - Collect
  - Process
  - Review
  - Produce

The e-discovery checklist

- After discovery
  - Return or dispose of produced information
  - Rescind legal hold
  - Debrief, lessons learned
  - Update data maps

Feature Presentation

Part 3:

Electronically Stored Information: A Checklist

Jesse Wilkins, Access Sciences Corporation

Managing Electronic Records Without an ERMS

e-Records Conference 2007
Session 3

Overview

- The network share problem
- Desktops and laptops
- Removable media
- Approaches to managing electronic records

The network share problem

- Many organizations have shared directories
- But there are some issues
  - Duplication of files
  - Multiple versions of files
  - Potential deletion of records
  - Accessibility without control framework
  - Limit to storage space available
  - Takes up lots of space
  - Lots of files stored on network shares are not records
    - Or even work-related!

How do organizations address this today?

- Set passwords or access controls
- Set quotas on network shares
  - And enforce them
  - Sometimes
- Buy more storage
- Back up everything periodically to optical or tape, then purge
- Do nothing
- None of this helps the records issues

Dealing with records on shares

- Take small steps
  - Folders that match the file plan
  - Flesh it out
  - Usage guidelines
- Consider using technology to take control of shares
  - Sharepoint?

Desktops, laptops, and the stuff they store

- Records can be stored many places on individuals' PCs
  - My Documents
  - In folders on the desktop
  - In application folders
  - In .PST files
  - In temporary folders
  - On a personal laptop

The problem with local file storage

- Many of the same issues as with network shares
  - Duplication of files
  - Multiple versions of files
  - Potential deletion of records
  - Accessibility without control framework
  - Limit to storage space available
  - Takes up lots of space
  - Lots of files stored on PCs are not records
- Plus the files rarely get backed up!

Dealing with records stored on PCs

- Start with the policy
- Consider "locking down" PCs
  - Side effects
- Consider locking down PCs except for a specified directory (e.g. My Documents)
  - Use centralized technology to retrieve records from those directories

Removable media

- Come in many sizes, form factors, and capacities
- Cheaper and hold more every week
- Includes:
  - Flash drives
  - External hard disks
  - Smart phones and PDAs
  - Compact Flash cards, Sony Memory Sticks, etc.
  - Optical disks (CDs, DVDs, etc.)

Removable media issues

- Many of the same issues as with network shares
  - Duplication of files
  - Multiple versions of files
  - Potential deletion of records
  - Accessibility without control framework
  - Lots of files stored on them are not records
- Plus they are generally not under any organizational control
- Easy to lose – and may have records on them!

Managing removable media

- Prohibit their use
- Address appropriate usage in policies
- Purchase removable media for use by employees (and address in policies)
  - Some provide encryption, passwords, biometrics
- Consider employing technology to limit or track usage
- Label and track media and location

Conclusion

- Network shares, PCs, and removable media present challenges for records managers
- There are less costly solutions available to address – but you get what you pay for
- A longer-term approach will almost certainly require technology assistance
- But any solution has to start with policies - TANSTAAMB

PM Sessions

Feature Presentation

Part 4:

Managing ERM without an ERMS

Jesse Wilkins, Access Sciences Corporation

Email in the Organization

e-Records Conference 2007
Session 4

Agenda

- Defining the issue
- Business, legal, and regulatory issues
- Approaches to managing email
- Elements of an email policy
- Additional resources

Email – defining the issue

- First email was sent in 1971
- Today more email is sent every day than the USPS delivers in a year
  - 9 billion emails a day in the US alone
  - Predicted to grow to more than 50 billion a day world-wide by end of 2007
- 60% or more of business-critical information is stored within messaging systems

Email – the 5 0,000 ft. view

- Why are we sending so much email?
  - It's easy
  - It's less formal*
  - It's nearly instantaneous
  - It's asynchronous
  - It's convenient

* Well…

Business, Legal, and Regulatory Issues

Business issues

- Email storage costs
  - Up to 200 GB email per month for 1,000-user company: that's a lot of storage!
  - Plus costs to back up to tape
  - Each terabyte of email (or 5 months of email) costs $100,000 a year to manage
  - Lost productivity due to managing email costs $120 per user per month, or $120,000/month

Business issues cont'd

- Email retrieval costs
  - It takes more than 11 hours to recover an email more than 1 year old from an archive
  - Typically have to restore the entire tape to a spare (!) server to find the desired message(s)
  - 29% of organizations would not be able to restore an email message over 6 months old

Legal issues

- Electronic discovery for a Fortune 500 company costs an average of $750,000 per case
- 75% of the demands for discovery are for email
- Courts may look negatively on discovery provided in other than native format…
- …but may also require that it be provided in an accessible format (rather than backup tape)
- New Federal Rules of Civil Procedure

Regulatory and recordkeeping issues

- Email messages can be records
- Email has to be accessible today…and tomorrow
  - Email systems and formats
  - Attachments and their formats
  - Media and hardware issues
- Email messages might be records – but email is NOT a series!

When is an email a record?

- When statutorily defined
  - Transitory
  - According to RRS
- When it documents a business transaction
- When it supports a business decision
- When the attachment is a record

Who manages the message?

- YOU have to manage an email:
  - You receive from outside the company
  - You send to someone inside the company
  - You send to someone outside the company
- Designate someone to manage messages sent to groups/lists

Email and records management

- Need to keep email record through retention period
- Then need to destroy them according to regular business practices and records policy
- Email must be managed centrally
  - Message archives are discoverable
  - The “deleted messages box” is discoverable
  - Individual messages and personal copies are discoverable
  - The more user intervention required, the less users will comply

Approaches to Managing Email

Approaches to managing email today

Policy approaches to retention:

1. Do nothing
2. Keep everything forever
3. Delete all messages older than X
4. Limit mailbox size to X
5. Declare and manage email as records

Approaches to managing email today

Technology approaches to retention:

1. Outsource it!
2. As email comes into the main server, by rules
3. After email sent to inboxes, but managed by rules
4. Decentralized – employees do it
   - Messages on the server
   - Messages in .PST/.NSF files

System requirements for email management

- System must store and retain messages sent or received
- Attachments must be kept, either attached to the message or separately and linked
- Metadata must be captured accurately
  - Name of sender and addressee(s)
    - Not nicknames, codes, distribution lists
  - Date/time sent
  - Other transmission data as necessary
- Calendar items, receipts, CC/BCCs…

Technologies for managing email

- Print & file
- Backup tapes
- Email messaging applications
- Email archival applications
- Email appliances
- Outsourced email solutions

Email attachments

- Attachments may form part of an email record
- Whether to store with the email record or not depends on the system used
  - Some systems store the attachments separately but linked, while others maintain the entire record as one object
- At a minimum the email record should note the name of any attachments

.PST and .NSF Files

- Used to store messages locally on PCs using Outlook or Lotus
- .PST files present a number of issues
  - Lack of backup
  - File size limited to 2GB (20GB in 2007)
  - Multiple .PST files!
- So how do you deal with them?
  - DON'T!*

Email preservation issues

- Format of info
  - HTML, RTF, text
- Format of message
  - .msg, .eml, .txt, others
- Format of attachment(s)
  - !
- Format of archive/storage system
  - Exchange, Lotus, Groupwise, .pst, .nsf

Elements of an Email Policy

Email policy principles

- Email belongs to the organization, not the individual
- Email is not a records series unto itself
- Email management program must comply with appropriate regulatory requirements
- Policy has to be followed and enforced!
- May also address appropriate use, employee training, notification of abuse, etc.

Elements of an email policy

- Guidelines for determining whether an individual email is a record or nonrecord
- Guidelines for what information must be stored and where
- Identification of what metadata must be captured and linked to individual records
- Guidelines for ensuring email records are accessible throughout retention period

Elements of an email policy

- Requirement to assess and mitigate risks associated with email management and failure to do so
- Establishment of appropriate disposition methods
- Guidelines for maintaining the integrity of the email system and the individual email records
- Guidelines for retaining and management attachments

Elements of an email policy

- Process for establishing disposition holds
- Process for disaster recovery
- Process for auditing the effectiveness of the program

Feature Presentation

Part 5:

Managing Instant Messaging

Jesse Wilkins, Access Sciences Corporation

Managing Instant Messaging

e-Records Conference 2007
Session 5

Instant messaging agenda

- Introduction to instant messaging (IM)
- Impact instant messaging has had on the workplace
- IM issues for records managers
- Identifying “IM records”
- How to manage IMs as records
- Enterprise instant messaging and the records manager

What is instant messaging?

- Communication over the Internet
- Communication between users in real time
- Most often one-to-one; some clients support group chat
- Requires a client and a server

Instant messaging client

- Indicate presence and status
- Send and receive messages
- Manage contacts (“buddy lists”)
- Additional functionality varies by client
- May be installed or web-based

Instant messaging client cont’d

- Carry on multiple conversations simultaneously
  - Generally in separate threads
  - Some support group/conference chat
- Clickable URLs
- File transfer capabilities
- Audio, video
- Voice over IP

The IM client – Yahoo! IM

The IM client – AOL IM

User's status

The "buddy list"

The IM client – MSN

User's status

The "buddy list"

Instant messaging server

- Serves as a "presence server" to let individuals know when their contacts are online and available
- Capability to "store and forward" instant messages
- Transmits messages between recipients
  - Some systems use peer-to-peer

Where is IM today?

- 45 billion instant messages sent per day
  - Predicted to surpass email usage by 2008
- 400 million users worldwide
- 93 % of organizations use IM
- 34% of current traffic is business-related
- Most IM networks support audio, video
- Most IM networks support file transfer
- Most IM networks are not managed

The four stages of IM

- Unfamiliarity
  - "We don't use IM – that's for my kids!"
- Prohibition
  - "Use of IM is grounds for dismissal"
- Acceptance
  - "Don't do evil"
- Optimization
  - Compliance, efficiency key goals

IM business issues

- IM is informal
- IM can be difficult to retain
  - Decentralized nature
  - May require users to "turn on archiving"
  - One-to-one – and saves entire conversation
- IM can bypass content, attachment filters
- IM systems don't play nicely together

The “recordness” of instant messages

- Records…
  - Document a business decision
  - Acted upon by the organization
  - Include attachments that are records
  - Original message sent or received
- Or not…
  - Not all IM are records
  - IM is not a series
  - Frequently transitory, inconsequential

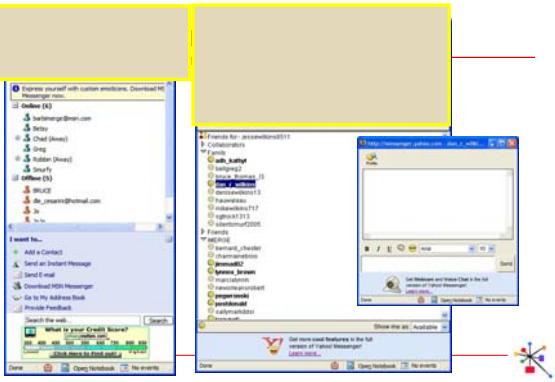
Record…or no record?

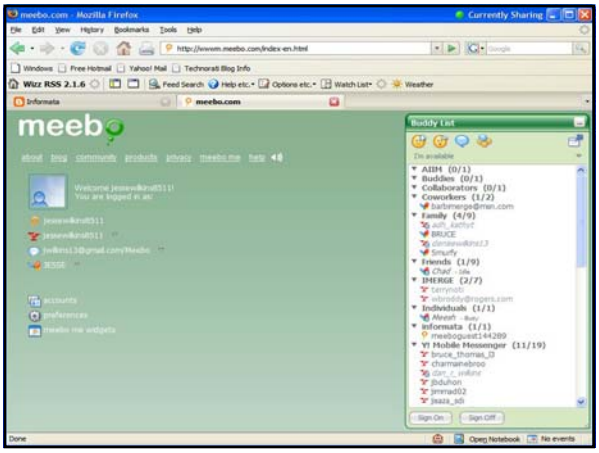
First step for handling IM

Prohibit it!

Why prohibition doesn't work: technology

- Easy install
- Can't block "server" URLS, IP addresses because dynamically allocated and cached
- Port-seeking behavior
- Simulate TCP connection to IM service using HTTP and polling
- Web-based IM clients: MSN Web Messenger, Yahoo Web Messenger, Google Talk, meebo, many others





Why prohibition doesn't work: culture

- Employees use it for legitimate reasons
  - Less formal
  - Real-time
  - Presencing
  - Email overload
- Customers want it!
  - See above

Top 5 steps for handling IM effectively

1. Update policies to address proper usage
2. Train users on the policies
3. Audit and review adherence to the policy and address gaps
4. Implement IM gateway or enterprise instant messaging
5. Export IM traffic to archival or records management application

Enterprise IM

- Generally provide own IM capabilities
- Everyone on the same client
- Tighter integration into directory services
- Much more granular control over functionality and usage

Enterprise IM - examples

- IBM Lotus Sametime
- Microsoft Live Communications Server
- IMiN
- J abberNow

IM gateways

- Provide retention and auditing capabilities for commercial IM such as AIM, ICQ , YIM, MSN
- May provide some interoperability among clients
- Audit usage, compliance with usage policies

Gateways - examples

- Akonix L7
- Symantec IMLogic
- Facetime IMAuditor
- CipherTrust IronIM

Minimal RM requirements for IM

- Capture and store all messages and attachments
  - Preferably as threads
- Full-text search capability across all messages
- Identity management
- IM compliance auditing, including intraorganizational and outgoing

Feature Presentation

Part 6:

Blogs, Wikis, and Other Collaborative Tools

Jesse Wilkins, Access Sciences Corporation

Blogs, Wikis, and RSS Feeds

e-Records Conference 2007
Session 6

Agenda

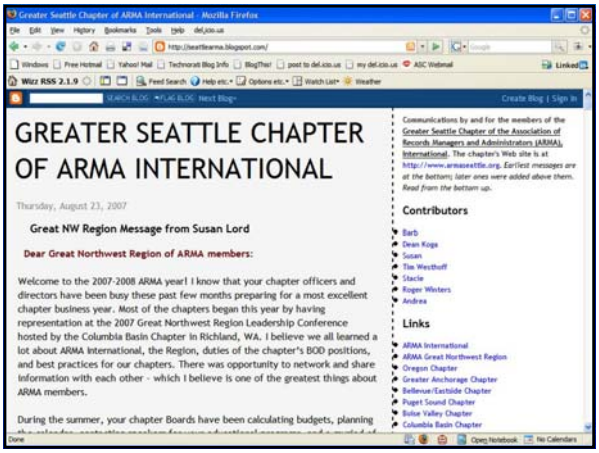
- Blog This!
- Really Simple RSS
- Wiki-wiki

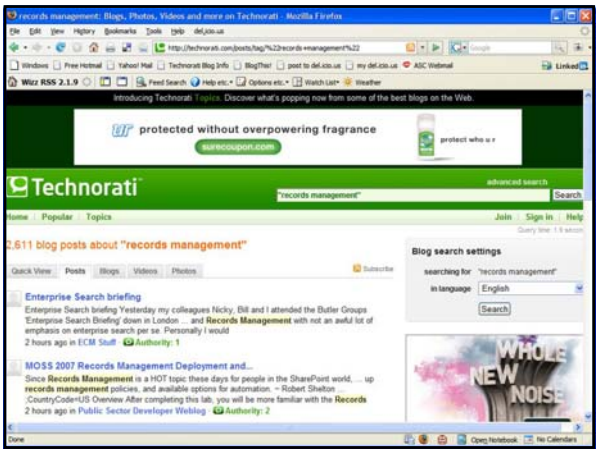
Blog this!

- Blogging 101
- Getting started with blogging
- Blog records management
- Blogging solutions

What's a blog?

- Started as online diaries
- Today used more as lightweight CMS
- Hides complexity of Web publishing
- Generally arranged in chronological order, most recent at top





Blogging basics

- Centralized - one person or group posts, others can only read the posts
- Comments and trackbacks
- Easy to link to other pages
- Easy to blog using toolbars
- Important to keep current!

Getting started

- Sign up for a free hosted service
- Start posting
- Keep posting!
- Make it relevant if you want it to be read….
- Consider commercial solutions
  - More control over content
  - Finer-grained control over access, updates

Blog Records Management

- If the CEO is blogging, is it a record?
  - Maybe.
- Most blogging systems support basic content management capabilities
- Review comments periodically
  - Or consider turning them off
- Track changes to postings, comments
  - Document reason for changes

Blog solutions - hosted

- Wordpress
- Typepad
- Blogger
- LiveJournal
- Myspace.com
- Blog.com
- MSN Spaces
- Yahoo 360°

Blog solutions - internal

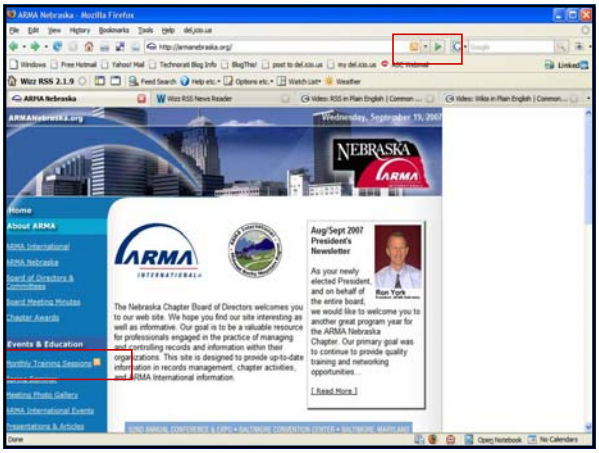
- Movable Type Enterprise
- Traction Teampage
- Blogtronix Enterprise
- Sharepoint 2007
- Drupal
- Telligent Community Server
- UserLand Manila and Radio UserLand

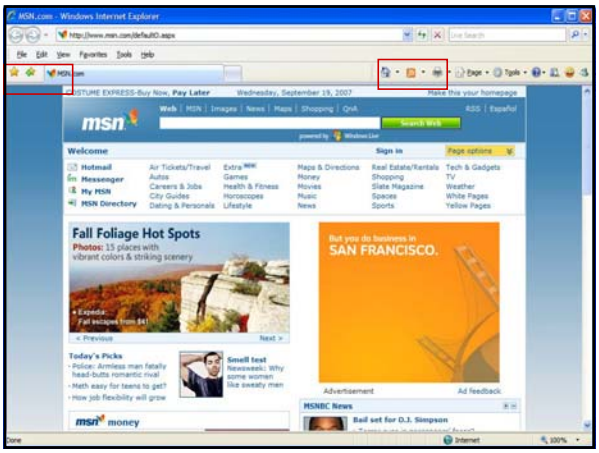
Really Simple RSS

- What is RSS?
- Where can I find feeds?
- What's a feed reader?

Really Simple Syndication

- Uses XML to store information, metadata
- Makes it easy for users to find your content
- Most blogs and wikis support RSS natively




MSN.com - Windows Internet Explorer
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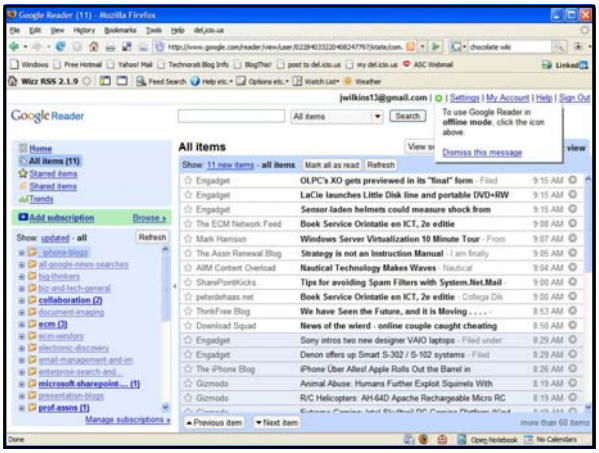
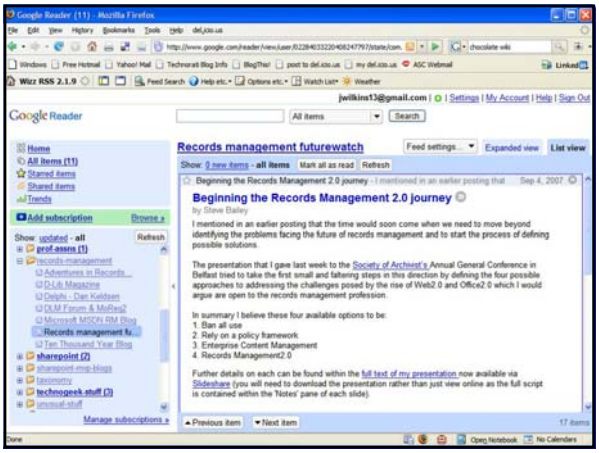
Fall Foliage Hot Spots
Photos: 15 places with vibrant colors & striking scenery
But you do business in SAN FRANCISCO.
Today's Picks
msn money
MSNBC News


Google Reader (11) - Mozilla Firefox
Google Reader
All items
Home
All items (11)
Starred items
Shared items
Trends
Add subscription
Manage subscriptions
Records management futurewatch
Beginning the Records Management 2.0 journey


Google Reader (11) - Mozilla Firefox
Google Reader
All items
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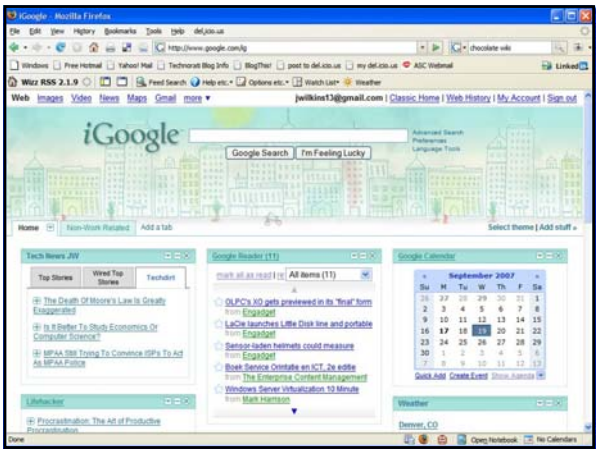
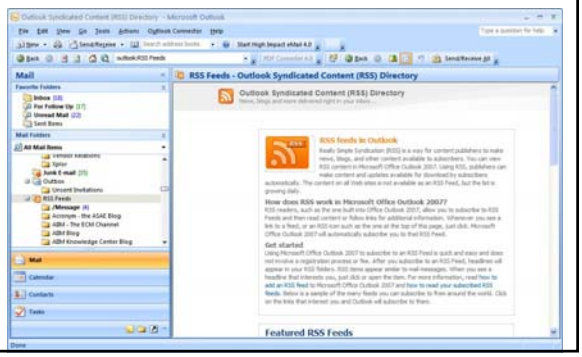
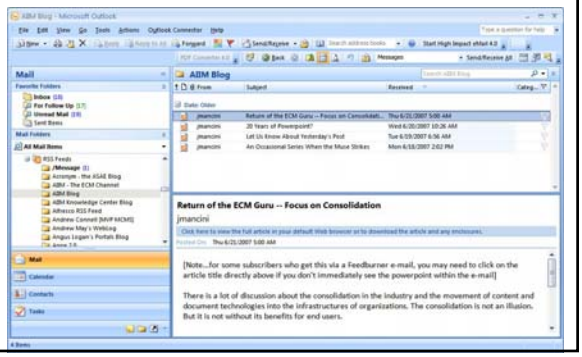
All items (11)
Starred items
Shared items
Trends
Add subscription
Manage subscriptions
Records management futurewatch
Beginning the Records Management 2.0 journey



RSS in Outlook



RSS in Outlook 2

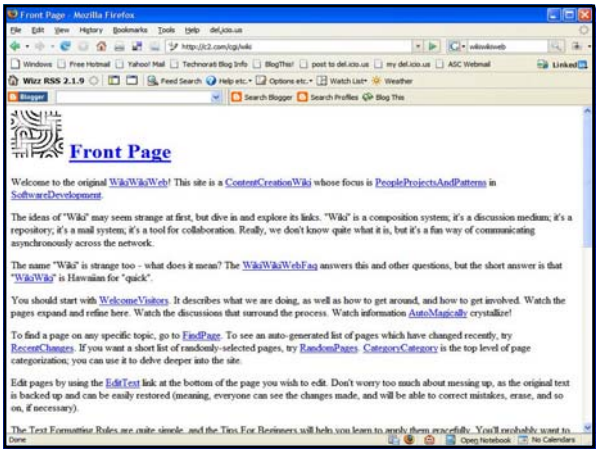


Feed readers

- Lots of them available
- Many of them free
- Google Reader
- My Yahoo!
- WizzRSS
- Newsgator
- Attensa
- Many others….

What's a wiki?

- Hawaiian for "quick"
- First wiki developed in 1994
  - WikiWikiWeb
  - Used to collaborate about programming

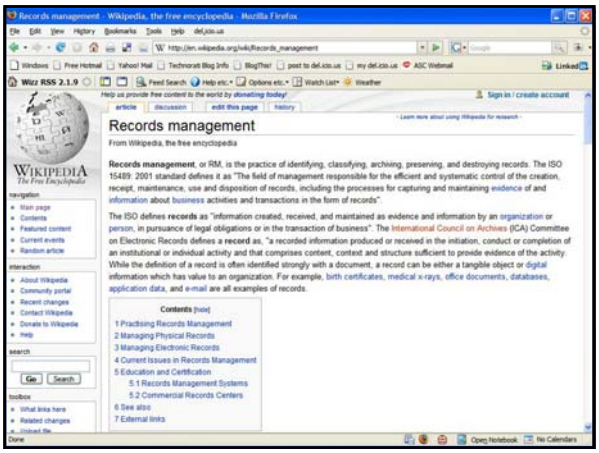


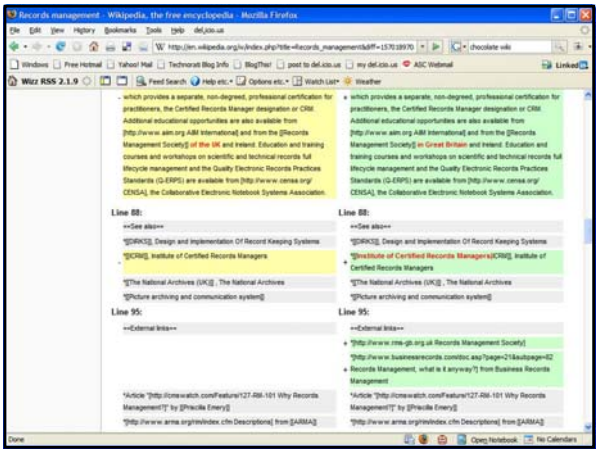
The wiki basics

- Collaborative website
- Organized as linked articles
- Hides complexity of HTML from users
- Easy to add articles
- Easy to link articles
- Easy to correct mistakes

Wiki-Wiki

- Wikipedia: 2,000,000+ articles in English
- Wiktionary: 528,000+ definitions in English





Wiki business cases

- Project management
- Collaborative authoring and review
- Knowledge management

Wikis and RM

- Excellent for collaboration on records management policies, procedures, RRS, etc.
- Changes tracked automatically
  - Need to save logs of changes
- Periodically may need to review/clean up
  - "Spam" comments/articles
  - Outdated materials

Implementing a wiki

- Sign up for a free hosted service
- Start writing
- Invite others to write
- Moderate…or not
- Consider a commercial wiki
  - MUCH more control over look & feel, access rights/security, content

Wikis - hosted

- Atlassian Confluence Hosted
- Central Desktop
- Cyn.in ("bliki")
- EditMe
- pbWiki
- Socialtext
- Wikia (uses MediaWiki)
- Wikispaces
- Zoho Wiki

Wikis - internal

- Atlassian Confluence
- MediaWiki
- Sharepoint 2007
- Socialtext Managed Service Appliance
- TWiki

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State Agency Web Page
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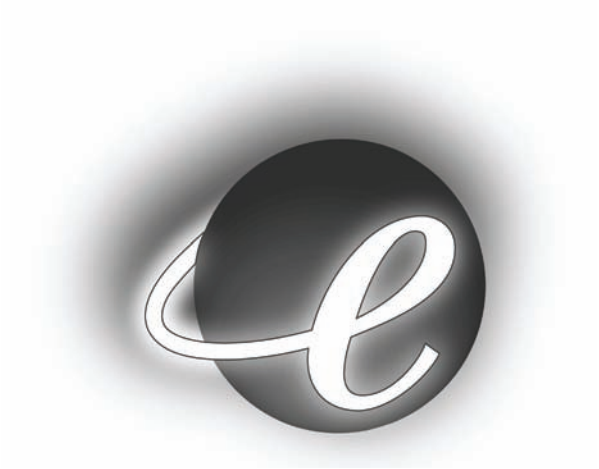
Local Government Web Page
www.tsl.state.tx.us/slrm/local/index.html



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www.dir.state.tx.us/servlet/dirStore
Customer Service: 800-464-1215

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www.dir.state.tx.us/store/faq/custfaq.htm

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Security Office
www.dir.state.tx.us/tsd/security.htm