

e-Records
Conference
2009

Best Practices for Managing Digital Information

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)**



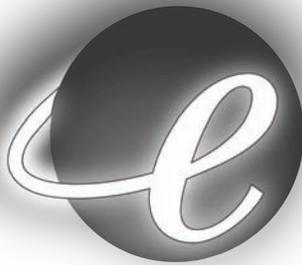
www.tsl.state.tx.us/erecords



Conference Agenda

Registration and Exhibit Area Open	7:30 - 8:30 a.m.
Welcoming Remarks <i>DIR and TSLAC Representatives</i>	8:30 - 8:45 a.m.
Information Asset Management: Automating Records Management Decisions <i>presented by Timothy Sprehe, PhD, and Michael Corrigan</i>	8:45 a.m. - 12:15 p.m.
Break and Exhibit Area Open	10:10 - 10:30 a.m.
Lunch (provided) and Exhibit Area Open	12:15 - 1:15 p.m.
Big Bucket Retention Schedules for Enterprise-wide Electronic Recordkeeping: A Case Study. <i>presented by Carol Brock, CRM</i>	1:15 - 3:00 p.m.
Break and Exhibit Area Open	3:00 - 3:20 p.m.
Electronic Records Management in Dallas County <i>presented by Randy Guin and Donna Henson</i>	3:20 - 4:20 p.m.
Wrap-up	4:20 - 4:30 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.*



Welcome from TSLAC and DIR

The Texas Department of Information Resources and the Texas State Library and Archives Commission welcome you to e-Records 2009. Since the year 2000, we have co-hosted this one-day conference about managing electronic records for state employees. The conference always draws a diverse group. Over 60 state agencies and state universities, more than a dozen exhibitors, and more than 200 attendees from Austin to Brownsville to Denton and points in between are with us today. Some attendees have been to more than one of these conferences and some are first-timers.

Members of the audience represent staff at all levels of management, legal, human resources, technology, records management, public information, accounting, purchasing, and many others interested in the issues surrounding electronic records management. This is an opportunity for you to connect with others and share this experience.

This year's topic is Best Practices for Managing Digital Information. Everyone talks about managing government digital information assets, but how is it done? The speakers will provide a look at three real world projects from government agencies.

“Information Asset Management: Automating Records Management Decisions” Speakers: Timothy Sprehe, PhD, and Michael Corrigan

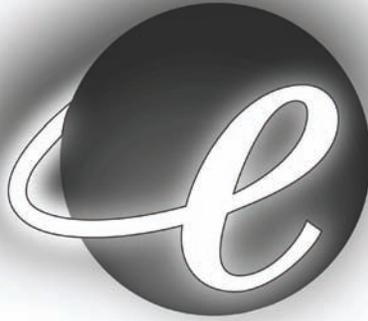
“Big Bucket Retention Schedules for Enterprise-wide Electronic Recordkeeping: A Case Study” Speaker: Carol Brock, CRM

“E-mail Records Management” Speakers: Randy Guin, MBA, CISSP, CGEIT and Donna Henson, RMO, from Dallas County



We welcome you.
Enjoy the conference today.





Agency Notes

Sponsoring Organizations

DIR

The Texas Department of Information Resources (DIR) provides convenient and cost-effective technology solutions for state and local government, public education (K-12 and higher education), and other public entities so that these organizations can focus on what they do best – providing the services Texans need most.

As the technology leader for Texas, DIR works to leverage the state's investment in shared technology, protect technology assets and citizen privacy, simplify access to government services and information, and promote the innovative use of technology across the state.

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/slrn.



Speaker Notes

Timothy Sprehe, PhD

J. Timothy Sprehe, PhD, is president of Sprehe Information Management Associates, Inc., a management consulting firm in the federal marketplace since 1991. Dr. Sprehe was chairman of AIIM International's C30 standards committee on integrated electronic document management systems and electronic records management systems and is the principal author of ANSI/AIIM/ARMA TR48-2006, Revised Framework for the Integration of Electronic Document Management Systems and Electronic Records Management Systems as well as its predecessor TR48-2004. He is a member of the AIIM Standards Board and the AIIM Standards Committee on Interoperable Enterprise Content Management. A frequent public speaker, Sprehe cosponsored an annual two-day conference on federal electronic records management from 1996 to 2006. During his 10 years at the U.S. Office of Management and Budget, he was principal author of the original OMB Circular No. A-130 (1985), the government-wide policy directive on the management of federal information resources. He has published almost 300 articles and books in the professional literature on electronic records management and other topics, and also writes an editorial opinion column for Federal Computer Week, a trade magazine. He received his PhD in Sociology from Washington University (St. Louis) in 1967 and held academic positions at Johns Hopkins University and Florida State University before joining federal service in 1970. For further information see: www.jtsprehe.com.

Michael Corrigan

Mr. Corrigan has over 30 years experience in designing and implementing information systems and information technology solutions for both commercial and government clients. He currently serves as Senior Information Management Strategist in the Office of the UnderSecretary of the US Air Force and Chief Management Officer. In this capacity Mr. Corrigan has developed the Air Force Information Management Strategy resulting in policy documents signed out by the AF CIO. Mr. Corrigan led the definition of the AF semantic approach to information exchange, developing the concepts for the Air Force Metadata Environment, Community of Interest vocabulary development, and application of the semantic models within the Air Force service-oriented architecture. In addition, Mr. Corrigan led the effort to define and implement the Automated Metadata Population Service which serves to automatically generate the metadata to support information discovery and sharing, information life-cycle management, and records management across the AF enterprise.



Speaker Notes

Carol Brock, CRM

Carol Brock is a Certified Records Manager and the former Director of Information Assets for the US Government Accountability Office. She successfully spearheaded a NARA pilot project for simplified records scheduling and implemented an enterprise wide electronic recordkeeping system for which she earned the National Archivist's Achievement Award. She has 23 years of Federal RM experience as a contractor, consultant, and Federal employee. Carol is a founding member of the Federal Information and Records Management (FIRM) Council and is an active member of ARMA and AIIM. As a member of AIIM's C30 Committee, she co-authored the EDM/ERM Integrated Functional Requirements. It has been 23 years since Carol earned her MLIS from UT-Austin. She returned this Fall to work on her PhD in Digital Preservation. She taught RM at Catholic University for two years.

Randy Guin

Randy Guin joined Dallas County in July of 2007 as the County's First IT Security Officer. He is responsible for the County's IT Security program spanning from development of a comprehensive IT Security policy along with supporting processes and procedures, assessing risk, implementing cost effective solutions, ensuring compliance to both industry and government regulations, IT audit and helping lead in the development and growth of the Dallas County IT organization. Randy's expertise has developed over 16 years in engineering and leadership roles responsible for developing and maintaining security solutions for

remote access, PKI, Mainframe, UNIX and Windows infrastructure, network, wireless, audit and compliance, policy development and E-discovery. Some of the companies Randy has had the privilege to work with are American Airlines, the US Navy, Sabre, Standard Waste, XOL, Altria and EDS. Randy obtained his MBA from the University of Phoenix with a BA in e-Business, and is a CISSP and CGEIT.

Donna Henson

Donna Henson is the Dallas County Records Management Officer. She is a member of ARMA and is currently working towards her CRM. Her love for records began in June of 1980, where she began her first job with Business Records Corporation filming the Dallas County Clerk land records. January 16, 1981 she began her career with Dallas County. Her responsibility began with the Dallas County Clerk as a Vital Statistics Clerk processing and reviewing records. She later enjoyed processing and management of the Dallas County property records as the Records/Recording Manager. In November 2003, she was appointed as the Dallas County Records Management Officer. She works with elected and appointed officials reviewing and advising them on records handling, storage and destruction. She leads a 9 member team that reviews, trains, transfers inventory, pulls and delivers files to court and processes destruction. She oversees an off-site Records Center that currently houses 163,000 boxes of records, as well as manages the database. She obtained a MIS minor and a BBA from Northwood University in Cedar Hill, Texas.



Presentation

Information Asset Management: Automating Records Management Decisions

Timothy Sprehe, PhD, and Michael Corrigan

Information Asset Management: Automating Records Management Decisions

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AGENDA

- Information Asset Management: A General Strategy for Information Management
- U.S. Air Force Approach to IAM and its Origins
- Aside: Records Management and Data Storage Management
- Implementing AF IAM
- Assigning Retention/Disposition & Records Status in AF MDE
- CONCLUSION

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Information Asset Management: A General Strategy for IM

- Information Asset Management is a **general strategy for managing all enterprise information.**
- Under IAM, every “piece” of information – no matter its form or format – is considered an information asset (IA) and is managed according to a single set of principles.
- IAM incorporates and aligns into one discipline the multiple disciplines traditionally associated with Information Management: data management, records management, multimedia management, document management, workflow management, and publications/forms management).”

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The Principles of IAM

1. Information is an asset so long as it has positive value to the enterprise. When it no longer has positive value, dispose of it.
2. Information is a time-related asset; it has positive value for a definable period of time (including, if necessary, in perpetuity).
3. The value of information depends on the ability of the enterprise to discover, access, understand, and consume the information.
4. Each IA shall have assigned to it at the moment of creation a period for which it is to be retained and instructions for disposition of the information at the end of that period.
5. All IA's are to be managed with no intrusion on the end user, maximizing automated information management.

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The Principles of IAM, continued

- IAM manages all Information Assets with “records management discipline.”
- Is every IA a record? **NO**, because a record is associated with an approved Records Schedule whereas IA's are not necessarily so associated.
 - IA's each have a retention period and disposition instructions but declaring an IA a record is a separate and distinct operation.
- IAM applies some records management operations to all information.

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Origins of AF Approach to IAM

- AF arrived at IAM by a curious route.
- Several years ago, AF realized it had over 5 petabytes of data in storage technology. A study showed:
 - Less than 30% accessed in last 12 months;
 - Less than 10% accessed in last 6 months.
 - No one could accurately identify the data or state how long it had been in storage.
 - Cost: About \$300M per yr and growing.

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AF Origins of IAM, continued

- AF concluded: **We are creating giant information landfills!**
 - And they are expensive!

THIS MUST STOP!

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RM and Data Storage Mgmt., cont.

Application to Records Management:

- Do RIM managers ever ask their IT colleagues about data storage management?
- About the volume of data stored, how long stored, whether cataloged and indexed?
- Whether at least some of the data might constitute official records?
- The answers are probably NO!
- Principally, we think, because RIM mgrs do not talk to IT mgrs.

RM and Data Storage Mgmt., cont

A telling example of why this is important.

- Typically, enterprises install & implement a Document Management application well before a Records Management app.
- Consequently, DM is upgraded as new versions appear. RN is **not** upgraded because no one is using it.
- When RIM manager implements RM app, unpleasant discoveries –
 1. RM app must be upgraded to current version.
 - The RM app cannot be properly configured/ implemented unless changes are made to the DM configuration.
 - Hence, RIM mgr. must negotiate with DM manager to make e-records work!

Telling Example, concluded

- More unpleasant discoveries –
 2. In order to function, RM app must share certain metadata with DM app and does not.
 - Guess what? The DM app is not configured to collect/record the necessary metadata.
 3. And still more problems may arise from the ways in which DM app is configured and operated.
- What is the solution?
 - Records managers must negotiate with “owners” of DM app as well as other apps.
 - That is, RIM must get friendly with IT management.

Moral: Take a techie to lunch next week!

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DoD Guidance

- DoDD 8320.02, *Data Sharing and a Net-Centric Department of Defense* certified 23 Apr 07
 - Guidance document (DoD 8320.02-G) provides guidance about COIs
- Directs ...
 - *Data shall be made visible, accessible, and understandable to any potential DoD user as early as possible in life cycle to support mission objectives*
 - *Directs establishing "metadata" and use of DoD Discovery Metadata Specification (DDMS)*
 - *Promotes use of communities (e.g. COIs) for semantic and structural agreements for data sharing*

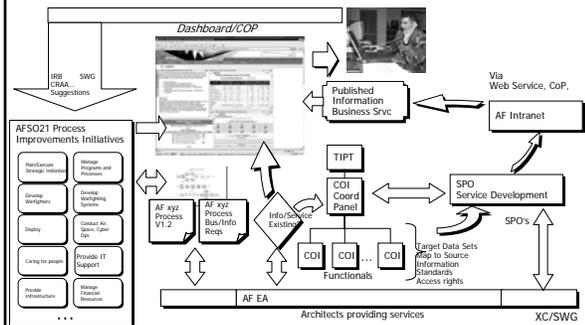


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Processes and Transparency



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COI Background

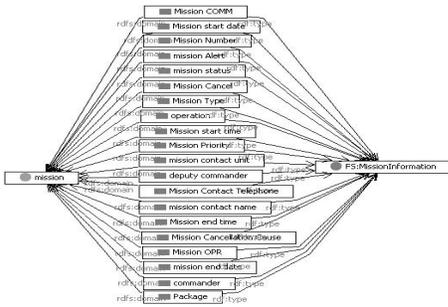
- A Community of Interest (COI) is defined as
“a collaborative group of users who must exchange information in pursuit of their shared goals, missions or business processes, and who therefore must have shared vocabulary for the information they exchange”
- COI Types
 - Institutional vs Expedient
 - Joint vs Service-specific

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Vocabulary Content: Mission

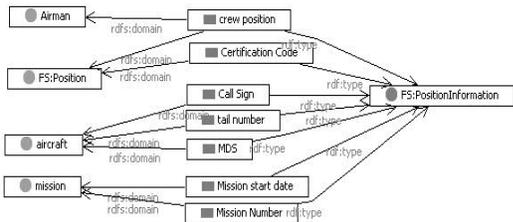


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Vocabulary Content: Position



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MDE, continued

MDE consists of --

- **AF Metadata** (publicly available)
- **Metacard Catalog** – metacards for all IAs.
- **Metadata Registry** to which each IA's metadata is sent
- **Metadata Service Registry** stores information about MDE services, tracks identities of services, & supports invocation of services to provide IA to user or other applications. Provides access to metadata plus services to create, update, maintain & manage metadata.
 - **Automated Metadata Population Service (AMPS)** operates on every IA using various tools to assign metadata values. [More below]

AF Metadata

- **AF Metadata:** AF created a Metadata Specification based on the Department of Defense Discovery Metadata Specification (DDMS), with Air Force extensions to support information life cycle management and more extensive information assurance metadata.
- **Includes:**
 - Discovery metadata
 - Structural metadata
 - Semantic metadata, including taxonomies and vocabularies
 - Service metadata
 - Records metadata – 5015.2-STD
 - Community of Interest metadata*

Metadata Registry

- The Metadata Registry (MDR) holds the actual metadata definitions for the various types of metadata.
- MDR maintains the different types of metadata in a persistent store that is accessible during runtime operations.
- The MDE uses the metadata from the MDR to tag actual instances of Information Assets with actual metadata values to support discovery, life cycle management, storage management, and categorization of the individual information assets.

Metadata Services

- MDE provides 3 major metadata services:
 1. Federated Query or Discovery Service
 2. Asset Registration Service
 3. **Automated Metadata Population Service** or Metadata Population.

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Automated Metadata Population Service

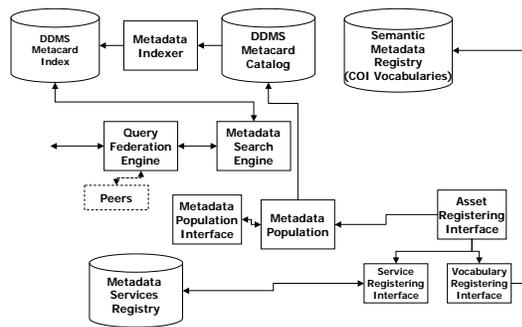
- Part of MDE Metadata Services, AMPS uses Unstructured Information Management apps (UIMA) [<http://incubator.apache.org/uima>], an open-source framework. AF AMPS is a GOTS* application.
- AMPS is a web service that uses
 1. Metadata vocabulary (including ontologies, etc.)
 2. Software tools- Tools such as:
 - Automated metadata extraction applications software [FAST, Convera, Autonomy, Teragram]
 - Keywording, keyword phrases
 - Other tools
 3. Annotators – Provide specific context for metadata extraction; e.g., for Subject: this is an MS Word document.

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MDE Components



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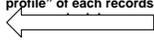
Summary: AF Metadata Environment

- MDE automatically populates every IA's metadata with no end user involvement.
- How accurate is MDE?
 - Very accurate. Tested against humans and found to be much better than humans because fatigue sets in with humans.
 - Quality assurance? Yes, periodic random checks.
- MDE supports all information management functions & activities – document mgmt, case file mgmt, database mgmt, workflow mgmt, web content mgmt, and publications/forms management.

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Assigning Retention/Disposition: "The Rules Engine"

Individual IA	RETENTION/DISPOSITION "RULES ENGINE"	All Detailed AF Records Schedules
Detailed Metadata Values of IA 	<ol style="list-style-type: none"> 1. "Rules Engine" matches metadata of individual IA against metadata of ALL AF records schedules using a probability model to find best fit between IA and a records schedule (s). 2. "Rules Engine" assigns retention and disposition metadata values from best-fit records schedule(s) to IA. If best-fit meets predetermined criterion, declares IA a record & associates with record(s) schedule. 	ALL AF records schedules represented as IA's, i.e., the Metacard or "metadata profile" of each records 
IA with assigned retention/disposition, record status metadata in Metacard		

Assigning Retention/Disposition, continued

“Rules Engine” –

1. Compares each IA's metadata with metadata of all AF records schedules, finds the best fit(s) and assign retention/disposition from that fit.
 2. If fit is “close enough,” declares IA a records and associates with records schedule. “Close enough” is AF specification.
- **AF MDE “Rules Engine”:** **designed, not yet completed.**
 - Work is “in process” on “Rules Engine” and depends on collaboration between CIO's Office and AF Records Officer.
 - **Present Status of IAM**
 - Many aspects of IAM are already implemented in multiple AF locations.
 - AF intent is to deploy IAM worldwide to 10,000 AF installations and 2 million personnel.

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Conclusion: What IAM Represents

- IAM is an **information management infrastructure** for ALL IM functions & services.
- More broadly, IAM fully solves **E-Discovery**. Every IA is discoverable and retrievable.
- IAM fully solves **Email Records Management**. Every email sent or received passes through a server where MDE operates; hence, discoverable & retrievable.
- IAM automates all records management decisions previously expected of desktop users.
- In this sense, IAM eliminates the need for desktop user training in RM decision making while greatly improving the accuracy & comprehensiveness of enterprise RM .

Conclusion

Is IAM a worthwhile general model of an infrastructure for managing all enterprise information?

Our Answer: Yes it is.

- We believe the IAM framework will spread widely throughout government & industry.

Discussion? Further Questions?

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Additional Materials Available

1. Slides: US Air Force Information & Services Strategy, 1-14-09
2. Slides: MDE Scenarios, 1-5-09
3. Slides: Automated Metadata Population Service, 9-22-09
4. Air Force Policy Directive 33-3, 2-24-06
5. Air Force Metadata, 7-29-08
6. Air Force SOA Playbook, 10-2-07



Presentation

Big Bucket Retention Schedules for Enterprise-wide Electronic Recordkeeping: A Case Study

Carol Brock, CRM

**Big Bucket Retention Schedules to
Enable an Enterprise-wide
Electronic Recordkeeping System:
A Case Study**

The Experience of the U.S.
Government Accountability Office
By Carol Brock, CRM
11/06/09

1

Overview – Big Buckets

- Big Buckets – what and why?
- Developing a concept for GAO
- How to create a big bucket schedule
- Big Buckets and ERMS
- Buckets, case files, profiles, and file plans
- Implementation, communication, and training
- Challenges and lessons learned
- Will it work for you?

2

What is a Big Bucket?

- The application of appraisal criteria to related groups of information, usually based on function, to establish a uniform retention period.*
- Aggregations/groupings of records at a level greater than a traditional file series, often along a specific program area, functional line, or business process.*

*NARA's Strategic Directions: Flexible Scheduling (2004).

3

Why Big Buckets for GAO?

- Support functional, media-neutral records series
- Simplify RM for automated business processes
- Automatically route saved documents to the records repository
- Pre-program retention into system templates and profiles
- Remove the records management burden from the users

4

How to Create a Big Bucket Schedule

- Perform a functional analysis
- Conduct inventories and interviews
- Analyze and categorize holdings
- Crosswalk current records series to new categories
- Craft broad, comprehensive bucket descriptions
- Review with stakeholders
- Obtain approvals

5

Organizational Functional Analysis

- Identify your functions
- Analyze the functions
- Research regulatory drivers and industry standards

6



- ### Inventories and Interviews
- Define the universe
 - Conduct the inventories and interviews
 - Obtain the IT systems inventory
 - Identify locations
 - Identify record owner(s) and user(s)
 - Understand the processes that generated the records
 - Gather information from staff about what they use and how they work
- 8

- ### Performing the Analysis
- Start with "as is"
 - Use your current retention schedules to identify:
 - Existing record series
 - Obsolete record series
 - Document the unscheduled records and systems identified in the inventories/interviews
 - Create the crosswalks
- 9

Analyzing the Crosswalks

- Describe old record series and new
- Identify the stakeholders
- Define the relationships among the items
- Examine retention periods: are they adequate for business purposes?
- Identify risks of changing retention periods
- Research the legal, regulatory, and industry requirements
- Identify the relevant guidance: NARA, OMB, etc.
- Ensure retention protects corporate and personal rights

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Crosswalk Sample #1

	1998 Series Description	1998 Authorized Disposition	Simplified RIDS	Interview Notes/ Comments
46. Testimony of the Comptroller General	One copy of each official testimony of the Comptroller General and Assistant Comptroller General before Congressional committees or other public hearings.	NOTE: One copy of each testimony is sent to OIMC (ISTIS) for entry into the GAO Document Database, and are microfilmed as a part of the permanently valuable microfiche set of "GAO Documents-- Publications Files." Destroy when no longer needed. (N1-411-97-1, item 40)	Policy - Permanent	Met with Ms. Jones of ISTIS. Informed that OIMC changed to ISTIS in 2000. Contractor enters GAO products into Publications database (except classified).
43. GAO Annual (Performance and Accountability) Report Files	Workpapers created in the preparation of the Annual Report of the Comptroller General. Includes folder reports made by other offices as input.	Close files at the end of the FY covered by the report and destroy 2 years later. (N1-411-97-1, item 43) NOTE: The official copy of the Comptroller General's Annual Report is included as part of the permanently valuable microfiche set of "GAO Documents-- Publications Files."	Policy - Permanent	Report title changed from Annual Report to Performance and Accountability Report in 2000. Historian advised that item 43 should be moved under 42 since that Unit is now responsible for the report. She also noted that there is a need to follow-up on files for former CG's era.

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Crosswalk Sample #2

Crosswalk: CRS (N1-411-97-1) to Policy Bucket (N1-411-06-3)						
Previous CRS Number	Record Name	Bucket Name	Sub Bucket Name	Retention Was	Proposed Retention	New SF 115 Item Number
7a	GAO Directives and Administrative Issuances	Policy & Special Collections	Orders, Directives and Manuals	Permanent	Permanent	3.6
7b	GAO Directives and Administrative Issuances	Policy & Special Collections	Orders, Directives and Manuals	Destroy when no longer needed		Non-record copy.
7c	GAO Directives and Administrative Issuances	Policy & Special Collections	Orders, Directives and Manuals	Permanent	Permanent	3.6
36	Comptroller General's Correspondence Subject Files	Policy & Special Collections	Comptroller General's Office & Sr Executive Business	Permanent	Permanent	3.6
37	Comptroller General's Subject Files	Policy & Special Collections	Comptroller General's Office & Sr Executive Business	Permanent	Permanent	3.6

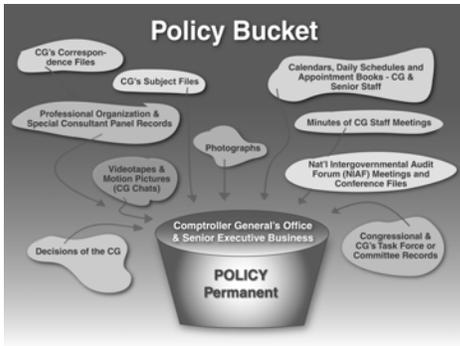
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Creating the Schedules

- Finding the “to be”
- Reduce the number of traditional record series
- Combine records that support the same business process
- Combine records that have the same/similar retention requirements
- Schedule records based on content value, not media

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Policy Bucket

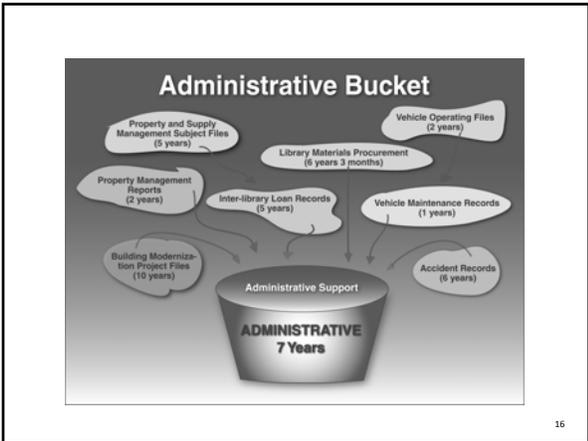


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Mission Bucket



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- ### Creating the Schedules, cont.
- Bucket descriptions
 - Write for current processes
 - Keep some historical perspective where needed for understanding
 - Evolve over time
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Simplified Retention: 3 Buckets

- Policy & Special Collections
 - GAO Reports & Publications
 - Legal Decisions
 - Legislative Histories
 - Historically Significant Engagement Files
 - Agency Directives
 - Senior Executive Files
- Permanent
- Or Long-term retention



Policy Case Files

- Broad-based, special collections
- Legal case files
- Policy development
- Annual files (Sr. Exec. Correspondence)
- Executive Committee Files
- Publications
- Long-term or permanent retention

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Simplified Retention: 3 Buckets

Mission
5 year retention



- Testimony, Engagement & Investigation Case Files
- Engagement Management Files

Mission Engagement Case Files

- Engagements already had a well-defined case file structure
- Job code is the key identifier
 - Familiar construct for managing time and work
 - Generated by a management information system
- Case file contents (and records requirements) clearly defined by auditing policies and established work processes
- Users know what they are expected to save

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Simplified Retention: 3 Buckets

Administrative 7 year retention



- Budget
- Building & Property Management
- Congressional Relations
- EEO
- Finance
- FOIA
- Library Services
- Human Capital
- Information Systems & Technology
- Procurement
- Safety
- Travel
- Etc.

Administrative Case Files

- User-defined based on how they organize their work
 - Users free to create as many folders and subfolders as they like (personal and shared)
- Public folder templates built for each team and office
- File plan is broadly defined based on administrative functions
- Only three basic choices:
 - General office files
 - Operations
 - Project Files

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Big Buckets and Electronic Recordkeeping

- Applied buckets to the design of the ERMS application
- Originally only one generic profile for all documents in the DM system
- Created three new streamlined profiles – one for each bucket with retention periods pre-programmed
- Kept user interface as simple as possible
- Goal was transparency to the user

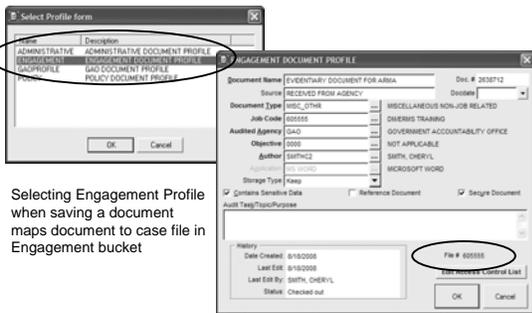
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RM Administration

- Built detailed file plans for each big bucket
- Software customization maps profile metadata to file plan
- Structure designed to support case file management within each bucket
- Cut-off and retention rules inherited from the highest level
- Files plans are as broad as possible.

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User View – Mission/Engagement Document Profile

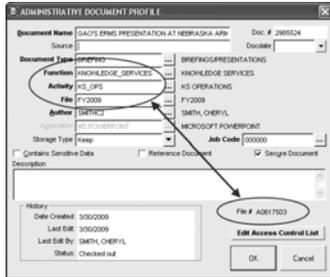


Mission/Engagement File Plan

- ENGAGEMENT
 - JOB CODES 110000 TO 120000
 - JOB CODES 120000 TO 129999
 - JOB CODES 130000 TO 139999
 - 139999 - EWIS PRE-ENGAGE & TEAM RESOURCES (139999)
 - 130999 - TBD (130999)
 - 130933 - PE OPPOR STUDENTS DISABILITIES (130933)
 - 130932 - E-SUPPLEMENT FOR SAHE SURVEY (130932)
 - 130931 - TEACHER QUALITY SEA E-SUPPLEMENT (130931)
 - 130930 - UNDERWRITING AND PRIVATE LOANS (130930)
 - 130929 - FINANCIAL CRISIS AND RETIREMENT (130929)

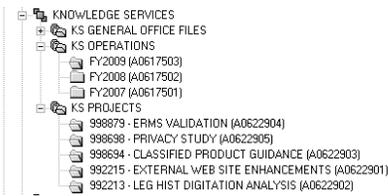
27

User View - Administrative Document Profile



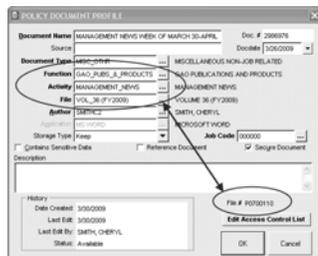
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Administrative File Plan



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User View - Policy Document Profile



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Policy File Plan



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File Cut-Offs

- File Cut-off Points
 - Mission – 60 days after report is published
 - Policy – event based or annual (long term or permanent retention)
 - Administrative – annually with special exceptions
- File Cut-Off Process
 - Notification of file closing
 - 60-day review and finalization
 - Files locked as records (made read-only)

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Case File Based Systems

- Simplified, broadened concept of case files
- Each engagement for mission
- Each fiscal year by function for administrative
- Each project, contract, policy is a separate case file

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Implementation Strategy

- Prototype for design and testing
- Pilots doing real work
- Phased implementation

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Implementation Strategy: Prototype

- Prototype created in the lab
- Design and testing (3 months)

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Implementation Strategy: Pilots

- Goal was to expose staff to the ERMS
- 20 pilots were conducted in 2005 and 2006
- Pilots were actual engagements, audits, and investigations with real deadlines
- Staff described pilots as a “non-event”

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Implementation Strategy: Phased Roll-Out

- Used phased approach
- Started with Knowledge Services and Information Technology
- 13 Mission Teams introduced in 2007
- Staff and Administrative Offices brought on in the first half of 2008

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Communications Strategy

- Executive staff briefings
- Team all-hands meetings
- Notices and GAO Newsletter articles
- Information Fairs
- Hallway posters
- ERMS Web Site
- Task Forces
- User Forum

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Training Strategy

- Classroom briefings for each group
- Video-taped for on-demand viewing
- On-line learning modules
- Desk-side assistance from dedicated RM staff
- Tips and tricks alerts
- Lunch and learn sessions
- Help Labs

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Post-Implementation Strategy

- Agency-wide implementation completed 11/2006
- ERMS became mandatory for all audit work 1/2007
- Senior staff listening sessions
- Analyzed staff comments, categorized and prioritized issues
- Formed task team to respond
- Established an ERMS Community of Practice

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ERMS Community of Practice

- Forum for knowledge sharing and collaboration
- Clarified policy for electronic documentation
- Developed operational guidance
- Published notices, FAQs, and best practices
- Community took ownership of process, solutions, and setting priorities

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Implementation Challenges – E-Records Managers

- Major impact on Records Managers role
- Now part of day-to-day system administration
- Updates are time-critical – need depth of staff to support the system
- On-going user assistance and training
- File plan maintenance and tracking takes much more time than first anticipated
- Managing event-based records close-outs is complex
- Buckets and file plans must be able to accommodate retention exceptions and litigation holds

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Obstacles Encountered

- Resistance to change
- Variations in standard work processes
- Disparity in skill levels on agency tools
- Users pushing envelope on technology – beyond ERMS capabilities
- International Peer Review
- Office-specific special interests

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Cultural Adjustments

- Business rules now applied to electronic documents – where none existed before
- Visibility – system audit trail
- Integrity of electronic case files enforced
- Everything is a record – until it is not
- Business systems under development and being planned **must** talk to and integrate with ERMS

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Lessons Learned: Leadership and Project Team

- Senior management leadership and oversight is essential
- Assemble an implementation team with diverse skills
- Continuity of the project team and managers is beneficial
- Choose pilot teams to include both power users and occasional users

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**Lesson Learned:
End Users**

- Invested user representatives affected the success of implementation for their team/unit
- Reiterate the value proposition to the user
- Commit to on-going user assistance
- Maximize the communication with the end users
- Educate users about how to use file structures/folders to organize their work

**Lessons Learned:
Implementation**

- Business processes must be standardized and consistent
- Be cognizant of major agency initiatives that impact staff (Peer Review)
- Implementation takes time, talent, and tenacity
- Be prepared to assist staff with applying system to their work on a daily basis
- Yes, really!

Big Bucket Benefits

- Useful for organizations implementing an electronic recordkeeping system
- Reduces requirement to create new retention schedules for new and un-scheduled records
- Easier for staff to understand how their work flows into a functional bucket

Will it Work for You?

- Does your organization have:
 - A straightforward, easily definable mission?
 - Streamlined, automated business processes?
 - Closely aligned record groupings which could be combined?
 - Management support for innovative business practices?
 - Plans to move to electronic recordkeeping?
- If you answered yes, the big bucket strategy may be for you.

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Presentation

Electronic Records Management in Dallas County

Randy Guin and Donna Henson

E-mail Records Management / Dallas County

**E-mail Migration
Presented by
Randy Guin, MBA, CISSP, CGEIT
Donna Henson, RMO
November 6, 2009**

Agenda

- Dallas County History**
- Desktop Migration project**
- Key Elements for email retention**
- Implementation**

Dallas County History

- Dallas County**
- Records Management**
- IT Services**
- Desktop environment**

Challenges
<ul style="list-style-type: none">▪ Policy Enforcement▪ Developing a new system that will be much easier for DC employees to manage their e-records. <p><i>Training Training Training Training Training</i></p>

E-mail Records Management / Dallas County
<p>Questions</p>



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