e-Records Conference 2014

Tuesday, November 18, 2014

Collaboration in an RM-IT World

Sponsored by

the Texas State Library and Archives Commission (TSLAC)

and

the Texas Department of Information Resources (DIR)

#TXeRecords @TSLAC @TexasDIR

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Tuesday, November 18, 2014

AGENDA

COLLABORATION IN AN RM-IT WORLD

8:00 AM	**REGISTRATION AND NETWORKING (CONTINENTAL BREAKFAST)**
8:30 AM	**WELCOMING REMARKS** – Mark Smith, Executive Director and State Librarian, Texas State Library and Archives Commission and Todd Kimbriel, Deputy Executive Director
9:00 AM	**RECORDS, RECORDS EVERYWHERE: THE FUTURE OF ERM IN GOVERNMENT** – Alan Webber, IDC Government Insights (Opening Session)
9:55 AM	**HAVE FUN STORMING THE CASTLE! THE IMPORTANCE OF RECORDS MANAGEMENT & IT COLLABORATION FOR DIGITAL PRESERVATION AND THE DEVELOPMENT OF THE TEXAS DIGITAL ARCHIVE** – Mark Myers, Texas State Library and Archives Commission
10:40 AM	**AM BREAK (REFRESHMENTS, EXHIBITS OPEN)**
11:00 AM	**INTENTIONAL DESIGN: EMBEDDING RECORDS MANAGEMENT INTO TECHNOLOGY** – John Rhoades, Access Sciences Corporation
12:00 PM	**LUNCH (LUNCH PROVIDED, EXHIBITS OPEN)**
1:00 PM	**NEGOTIATING ENTERPRISE METADATA STANDARDS FOR E-RECORDS** – Jessica Higgins and Katherine Cranford, City of Austin
2:00 PM	**PM BREAK (REFRESHMENTS, EXHIBITS OPEN)**
2:20 PM	**STREAMLINING WITH SHAREPOINT** – Natalie Acevedo, Texas Department of Public Safety
3:15 PM	**ERM CASE STUDY - IMPLEMENTATION OF ERM STANDARDS** – Barbara Mercer, Information Network International and Stephen Sepulveda, PacoTech, Inc.
4:15 PM	**CONFERENCE WRAP-UP**

THANK YOU FOR ATTENDING. PLEASE COMPLETE AND RETURN OUR EVALUATION FORM.

Welcome from DIR and TSLAC

The Texas Department of Information Resources and the Texas State Library and Archives Commission welcome you to e-Records 2014: Collaboration in an RM-IT World. Geared to state agency and local government officials who create or manage electronic records, this one-day conference is an opportunity to improve electronic records management in Texas government. The conference brings together staff responsible for and interested in records management and information technology. It is also a great chance to network with attendees who work on some of the same electronic records management issues you face in your office.

Over 100 different state agencies, state universities, local governments, and exhibitors are with us today. Some of the more than 300 attendees here have been to several of these conferences and some are first-timers. Please visit the exhibitors during the breaks and at lunch.

Members of the audience represent staff at all levels of management and from various disciplines: technology, records management, archives, legal, human resources, public information, accounting, purchasing, and many others interested in the issues surrounding electronic records management. This conference provides an opportunity for all of us to learn, share experiences, and create new working partnerships in records and information management.

This year we are fortunate to have a variety of both public and private speakers share their expertise. The morning topics focus on the future of electronic records management in government, digital preservation, and embedding records management into your technology projects.

In the afternoon, you will learn about negotiating metadata standards, using your existing SharePoint resources for records management, and implementing electronic records management standards

We welcome you and hope that you enjoy the conference today.

#TXeRecords **@TSLAC** **@TexasDIR**

Sponsoring Agency Notes

Texas Department of Information Resources (DIR)

The Texas Department of Information Resources (DIR) provides statewide leadership and oversight for management of government information and communications technology. Created in 1989, when the Texas Legislature enacted Chapter 2054 of the Texas Government Code (a.k.a. the Information Resources Management Act), DIR's responsibilities and authority have evolved significantly over time. In 2005, the 79th Legislature (HB 1516) signaled a clear mandate for the state to restructure the roles and responsibilities of agencies for its investment in information and communication technology. DIR has served in a leadership role to facilitate the state's economic competitiveness through its ability to deliver quality information resources commodities and services at the lowest prices and best value for state and local government as well as the K-12 public and higher education systems.

DIR's mission is to provide technology leadership, solutions and value to all levels of Texas government and education, as well as to enable and facilitate the fulfillment of their core missions.

To find out how DIR can help you, visit our website: www.dir.texas.gov.

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Sponsoring Agency Notes

Texas State Library and Archives Commission (TSLAC)

The Texas State Library and Archives Commission (TSLAC) welcomes its chief executive, Director and Librarian Mark Smith. An Austin native with a background in statewide library management, Mr. Smith heads an agency with a complex set of responsibilities to the people of Texas. TSLAC provides guidance and leadership in the areas of library development, talking books, archives, and records management.

The agency's State and Local Records Management Division (SLRM) coordinates the e-Records conference with DIR. Our principal role at State and Local Records Management is to provide support services to Texas state agencies and local governments in their efforts to comply with state records management laws. This broad range of services includes records management training, document imaging services, and records storage services.

Experienced government information analysts provide training classes in records management for state agencies and local governments. The Records Management Assistance unit serves almost 10,000 Texas local governments and all State agencies by providing assistance in all aspects of records and information management.

Records Center Services provides state agencies with cost-effective storage of non-current, infrequently used state records in hard copy, electronic and microfilm formats. Agencies have controlled access to their hard copy records that are stored in a facility specifically designed for high-density, low-cost maintenance of records. The electronic and microfilm records are stored in vaults specifically designed to protect these documents and mediums. Imaging Services specializes in preservation and archival microfilming, processing and duplication.

To find out how SLRM can help you, visit our website: www.tsl.texas.gov/slrm.

The Records Management Interagency Coordinating Council (RMICC) identified a need for broadly disseminating information about records management requirements at state agencies and universities. Also, the Council determined a need for a second document to address legislators' and legislative records. A committee of volunteers from agencies and universities drafted the two brochures.

The brochures as well as companion information with suggestions for their use are available through the links below. These files are suitable for distribution by email or may be included on websites.

- RMICC: see link from home page (www.rmicc.state.tx.us);
- DIR: Document Library, on IT Leadership tab (www.dir.texas.gov); and
- TSLAC: select Records Management from the QuickLink, look for bullet under "Records Management Assistance for State Agencies" (www.tsl.texas.gov)

Contact Information

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The Texas Record (blog)
https://www.tsl.texas.gov/slrm/blog

#TXeRecords **@TSLAC** **@TexasDIR**

Today's Speakers

NATALIE ACEVEDO, PROGRAM MANAGER, TEXAS DEPARTMENT OF PUBLIC SAFETY

Natalie Acevedo has been employed with the Texas Department of Public Safety since January 2005, and as of August 2012 has been responsible for the agency records management program. Natalie is the Program Manager for the agency's IT Infrastructure and Law Enforcement Support enterprise projects and currently provides oversight to the DPS Records Management program.

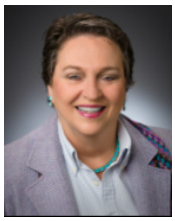
KATHERINE CRANFORD, CORPORATE RECORDS ANALYST, CITY OF AUSTIN, OFFICE OF THE CITY CLERK

Katherine Cranford is a Corporate Records Analyst for the City of Austin, Texas with a focus on electronic records management. Before coming to the City of Austin, Katherine worked in the technical sector, specializing in taxonomy, organization theory and knowledge management for content management teams. She holds a Masters in Information Science from the School of Information at the University of Texas.

JESSICA HIGGINS, BUSINESS SYSTEMS ANALYST, CITY OF AUSTIN, OFFICE OF THE CITY CLERK

Jessica Higgins is a Business Systems Analyst for the City of Austin, Texas, where she is a leader in the implementation of the City's enterprise electronic records management system. She is also engaged in a number of technical and records management projects. She holds a Masters in Information Science from the School of Information at the University of Texas, and currently serves as webmaster for the Austin ARMA chapter.

BARBARA MERCER, VICE PRESIDENT AND PRINCIPAL CONSULTANT, INFORMATION NETWORK INTERNATIONAL



Ms. Barbara Mercer has been in the records and information management industry for over thirty years. She helps clients identify their needs and helps them implement technological solutions that address their unique issues. She specializes in process design, audit control, electronic information management integration, and accounting and financial reporting standards.

MARK J. MYERS, ELECTRONIC RECORDS SPECIALIST, TEXAS STATE LIBRARY AND ARCHIVES COMMISSION

Mark J. Myers is the electronic records specialist with the Texas State Library and Archives Commission (TSLAC) and has over 15 years of experience in electronic records management and digital preservation. Mark started with TSLAC in June, 2014, and is working on building a data archive to preserve and make accessible the electronic records of state government, beginning with the records of Governor Rick Perry in 2015. Mark will also be providing advice and assistance to state and local government agencies for the long-term preservation of their electronic records. Prior to his work in TX, Mark was the electronic records archivist with the Kentucky Department for Libraries and Archives for 13 years. Mark has a bachelor's degree in secondary education from the University of Kentucky and graduate work from Auburn University. He now lives in Austin, with his wife and two children.

JOHN RHOADES, SENIOR VICE PRESIDENT, ACCESS SCIENCES CORPORATION

John Rhoades is Senior Vice President of Consulting and Corporate Strategy at Access Sciences Corporation. He has over 15 years of experience leading change programs for both global and regional clients, preparing organizations for the implementation of large-scale information systems and records management programs. John currently serves Access Sciences and clients as an organizational leader, methods developer, program lead, program advisor, and quality assurance lead.

STEPHEN SEPULVEDA, PROJECT MANAGER, PACOTECH, INC.

Stephen Sepulveda is Project Manager for PacoTech, Inc. in Austin Texas. He has worked in the field of Records Management for over 17 years; his experience includes managing data centers for oil and gas companies, and records programs for state agencies. In Austin, he successfully manages a state contract for PacoTech, Inc. Over the past nine years, he has been a member of the Austin ARMA chapter and will be working towards his CRM certification.

ALAN E. WEBBER, RESEARCH DIRECTOR, IDC GOVERNMENT INSIGHTS

Alan E. Webber is Research Director for IDC Government Insights. Specific areas of research interest for Alan are digital government including technology innovation, digital strategy, eGovernment, citizen engagement, social media employment, open government, data transparency, impact of technology on the future of government, private-public business models, performance management, internet of things, digital risk and security, and privacy.

BACKGROUND
Alan is a public sector professional with more than 20 years of analyst, management, and technology experience working with government vendors and government clients.

Alan's primary research interests are to assist clients in understanding the intersection of society/culture, technology, and government. Alan's research covers the market forces and the transformative technologies that are critical to the evolution and success of national government agencies and programs. Alan's research enables political leaders, line of business executives, and IT executives to become more efficient, more effective, and reduce risk by being informed about today's technology challenges and preparing for tomorrow. Alan advises clients around the globe on issues pertaining to digital government, eGovernment, and technology innovation/adoption/disruption as well as digital risk and privacy.

EDUCATION/INDUSTRY ACCOMPLISHMENTS
Alan has a BA, MA, and an MS from Colorado State University, and is ABD for his Ph.D. from George Washington University. Alan is currently an adjunct faculty member at the Naval Postgraduate School where he lectures on the future of technology.

During his career Alan has been a Partner and Principle Analyst at the Altimeter Group covering digital risk, a Principal Analyst covering digital engagement and public sector at Forrester Research, and has led various strategic planning, performance management, eGovernment, and Web initiatives for the US Government agencies. He has also implemented enterprise-wide ERP and business systems and managed the accounting department for a Fortune 500 subsidiary.

Alan has been quoted in numerous business and technology publications including B2B Magazine, Business Week, The Washington Post, Government Computer News, Congressional Quarterly, CIO Magazine, CIO Today, Government Technology, and French CIO Magazine among others.
Alan's Twitter handle is @alanwebber.

Presentation

Records, Records Everywhere: The Future of ERM in Government

Alan Webber, IDC Government Insights

Government agencies, by their very nature, have traditionally kept all kinds of records. History has shown that back in the third millennium BC, bureaucrats in the Mesopotamian area of Sumer were some of the first to use the newly developed technology of writing to record laws, transactions, and economic records. And government agencies today are no different – whether it is for revenue, regulatory, licensing, or other reasons, government agencies continue to have extensive records. As the cost of digital record storage continues to decline, the amount of information swept up and kept in records by government will continue to grow as government agencies struggle to deal with current ERM issues. But where is ERM headed tomorrow? This session will focus on the factors and technologies like storage, analytics, and search that will form the foundation of ERM in the future.

NOTES/ACTION ITEMS

Records, Records Everywhere: The Future of ERM in Government

Alan Webber, IDC Government Insights

NOTES

NOTES

ACTION ITEMS (relevant ideas /next steps)

1.

2.

3.

4.

5.

Presentation

Have Fun Storming the Castle! The importance of records management & IT collaboration for digital preservation and the development of the Texas Digital Archive

Mark Myers, Texas State Library and Archives Commission

In this presentation, TSLAC's newly hired electronic records specialist will discuss his previous work in the development of a data archive and digital preservation program at the Kentucky state archives, and how the archives built its productive relationship with the state's IT agency. He will then talk about applying those skills to TSLAC's plans for an electronic records archive starting with the Governor Rick Perry's records and working with Texas state agencies in managing and preserving their electronic records.

“Have Fun Storming the Castle!”

The importance of records management & IT collaboration for digital preservation and the development of the Texas Digital Archive.

2014 e-Records Conference, Austin, TX

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Background

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Where I’ve been

- Alabama Department of Archives and History – 1998-2001
  - Electronic Records Management
- Kentucky Department for Libraries and Archives – 2001-May2014
  - Electronic Records Management
  - Digital Preservation
- Texas State Library and Archives Commission – June 2014 - Present

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Where We've Been . . .

- Late 1970's **– PRD begins scheduling machine readable records (MRR)**
- 1983 **– MRR Taskforce – Joint effort of Legislature and State Archives and Records Commission.**
- 1984 **- Kentucky Information Systems Commission (KISC) - State Archivist on commission**
- 1985 **– NHPRC Machine Readable Records (MRR) Grant**
- 1990's **- Kentucky Information Resource Management (KIRM) Commission – State Librarian chair**
- 1996 – Began actively searching for and downloading state publications off Internet
- 1997 **– State CIO created & Enterprise IT Architecture Standards adopted**
- Late 1990's – Consultant hired to overhaul Electronic Records Program

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Development of e-Archives

- **2001 – Electronic Records Archivist Hired**
- 2002 **– Electronic Records Working Group Formed**
- 2003 – Began archiving Governor's website (recreated Governor's 1997 website)
- 2006 **– e-Archives is available to the public on the Internet**
- 2008- Began evaluation of Dspace
- 2009 – e-Archives relaunched with Dspace
- 2010 – Began evaluation of Archive-It – Became full member in 2012
- 2011 – Participated in ISO-16363 test audit
- 2011-2012 – Began evaluation and pilot of Tessella digital preservation system
- 2012 – Purchased the Preservica digital preservation system

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Storming the Castle

Issues surrounding
Digital Preservation

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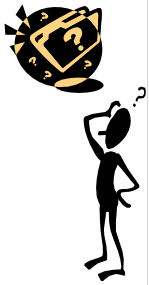
WHAT IS A RECORD?



Texas Code 441.108(11) defines a "state record" as:

- "means any written, photographic, machine-readable, or other recorded information created or r y or an e ivities in th ublic reso l info gove al busi n which Texas was a province, colony, republic, or state."

"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."

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Electronic Records

- **Sec. 441.189. ELECTRONIC STATE RECORDS.**
- (a) Any state record may be created or stored electronically in accordance with standards and procedures adopted as administrative rules of the commission.

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Characteristics of an Electronic Record

- Four essential characteristics:
  - **Authenticity**-A record must be what it purports to be.
  - **Reliability**-A record must be a full and accurate representation of the transactions, activities, or facts to which it attests.
  - **Integrity**-A record must be complete and unaltered.
  - **Usability**-A record must be able to be located, retrieved, presented, and interpreted.
- **Digital preservation is the challenge of maintaining all of these characteristics over time**

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Authenticity & Reliability

- An *authentic* record is one that can be proven to be what it professes to be, to have been created or sent by the person claiming to have created or sent it, and to have been created or sent at that time.
- A *reliable* record is one whose contents can be trusted as a full and accurate representation of the transactions, activities or facts to which they attest.

International Standards Organization (ISO) 15489-1:2001 – Information and Documentation – Records Management – Part 1 – General, section 7.2.2 – 7.2.5.

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Authenticity

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Reliability

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Authentic Electronic Records

- It's all about the Metadata: documents the activities of creation and use
  - Administrative metadata:
    - Access information
    - Audit trails
    - Retention Schedules
  - Technical metadata:
    - File format information
    - Checksums
    - System information/requirements
  - Descriptive Metadata
    - Bibliographic data (Who, what, when, where, why)
    - Indexes/Finding aids

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Integrity

- "When we say that a digital object has 'integrity,' we mean that it has not been corrupted over time or in transit; in other words, that we have in hand the same set of sequences of bits that came into existence when the object was created."

Clifford Lynch,
Authenticity in a Digital Environment
Council on Library and Information Resources, 2000

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Integrity: Protecting the records

Must show that the record hasn't changed

- Improper access
  - Protect from tampering
  - Accidental deletion
- Proper Access
  - If record is altered both copies (original and new) are retained
- Protect from data loss
  - "Bit Rot" or media deterioration
  - Keeping all the parts of files together

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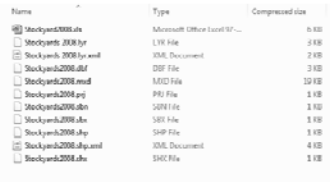
Integrity - Compound (multi-part) files



Name	Type	Compressed size
Stockyards2008.xls	Microsoft Office Excel 97-...	6 KB
Stockyards 2008.lyr	LYR File	5 KB
Stockyards 2008.lyr.xml	XML Document	2 KB
Stockyards2008.dbf	DBF File	3 KB
Stockyards2008.mxd	MXD File	19 KB
Stockyards2008.prj	PRJ File	1 KB
Stockyards2008.sbn	SBN File	1 KB
Stockyards2008.sbx	SBX File	1 KB
Stockyards2008.shp	SHP File	1 KB
Stockyards2008.shp.xml	XML Document	4 KB
Stockyards2008.shx	SHX File	1 KB

GIS – Shapefile

- Open/Basic form of GIS data
- Multiple parts – need all or most of them for the file to work properly
- Even if you have just this one self-contained file, you still need a GIS system for it to make sense.

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Methods for protecting Integrity

- Store official/final records as "Read Only"
  - Restrict access to final repositories
- Have systems that assign unique ID to all records
- Compute a checksum or hash digest/algorithm (unique digital fingerprint of object)
- Some change may be necessary
  - Redaction for PIA requests
  - Migration to formats/systems
  - Document all actions taken on the record in metadata

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Usability

"Information which is not communicated is valueless, and information that cannot be found is similarly worthless."

Robek, Brown & Stephens,
Information and Records Management, 4th ed

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Usability

- Need be able to FIND the records
  - Consistent file/folder names
  - Indexes and Inventories
  - Search and Retrieval – Keyword searching is not always your friend
- Need to make sure records are accessible
  - File viewers/Editors (PDF reader)
  - External dependencies
    - Files linked to other files in other locations
  - Internal Controls
    - Digital Rights Management

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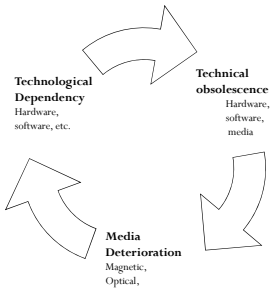
Preservation Challenges

- Unlike some paper records, digital records do not survive without constant attention
- Biggest Challenge facing electronic records - **CHANGE**



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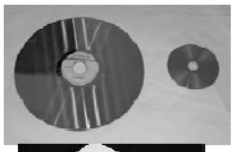
Technological Obsolescence

Domesday Book – 1086 CE



BBC Micro Computer

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Technological Obsolescence = Preservation Challenge

- **Short-term (0-5 years)**
  - Highly active – on-line storage
  - "Normal" management issues
  - Possible application version upgrade
- **Mid-term (5-10 years)**
  - Less active – Near-line/Off-line storage
  - Multiple version control issues
  - System upgrades
  - Possible hardware/software migration
- **Long-term (10+ years)**
  - Least active – Off-line storage
  - Migration/conversion likely

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When Records Are at Risk

- Software is obsolete or getting to end of life
- Dependency on specific hardware or system
- Non-standard/specialty formats used
- Systems being replaced
- Records no longer in use
- Records are on removable media

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Get control over your records!

- Starts with Records Management
  - Records Retention Schedules
    - Identify what records you have and what purpose they serve
    - Establish appropriate retention periods to manage volume
      - Dispose of records at the right time
      - Protect records that need to be retained
  - Recordkeeping systems
    - Organize and Categorize Records
    - Centralized control
    - Improved Access and storage
  - Policies and Procedures
    - People know how to use the system
    - Train people on the culture of management

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What are you trying to preserve?

- Information - The raw data or information contained in the record
- Functionality/Appearance - Look &Feel
- Context – How the records relate to other records

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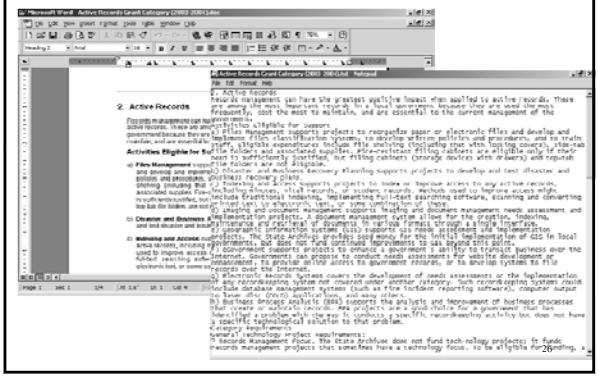
Information versus Appearance



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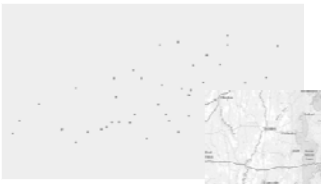
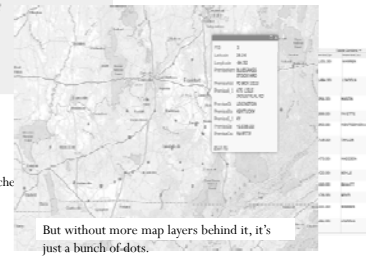
The value of context



This is a GIS shapefile – one layer out of GIS system. By itself it's just a bunch of dots. (Stockyards in KY)



All of the dots have data attache them.

But without more map layers behind it, it's just a bunch of dots.

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Preservation Strategies

- Conversion to hardcopy (paper or microfilm)
- Sustainable formats (Normalization)
- Migration
- LOCKSS (Lots of Copies Keep Stuff Safe)

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Long-Term Preservation Strategies: Convert to Hardcopy (Eye-readable)

Best for text-based data:
Text files
Imaged paper
Digital Photos (mainly B&W)

- Solution when
  - All necessary metadata is captured
  - No need to maintain functionality of records
  - Frequency of use goes down as time goes on
  - Color is not a major concern
- Examples
  - Print electronic data to paper
  - Digital to Microfilm
  - Rosetta disk

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Long-Term Preservation Strategies: Standard (Sustainable) Formats

Types of Standards
- State/Enterprise
- National/ International Standards (ANSI, ISO)
- Industry Standards
- "De facto" Standards

Formats expected not to change, or change slowly
- Widely supported & used
- Easily Transferable
  - Compatible with other applications
  - Forward/Backward Compatibility
  - Version Control
- Non-proprietary or open/published standards

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Sustainability Factors for Digital Formats (Library of Congress)

- 1. **Disclosure.** Degree to which complete specifications and tools for validating technical integrity exist and are accessible to those creating and sustaining digital content. A spectrum of disclosure levels can be observed for digital formats. What is most significant is not approval by a recognized standards body, but the existence of complete documentation.
- 2. **Adoption.** Degree to which the format is already used by the primary creators, disseminators, or users of information resources.
- 3. **Transparency.** Degree to which the digital representation is open to direct analysis with basic tools, such as human readability using a text-only editor.
- 4. **Self-documentation.** Self-documenting digital objects contain basic descriptive, technical, and other administrative metadata.
- 5. **External Dependencies.** Degree to which a particular format depends on particular hardware, operating system, or software for rendering or use and the predicted complexity of dealing with those dependencies in future technical environments.
- 6. **Impact of Patents.** Degree to which the ability of archival institutions to sustain content in a format will be inhibited by patents.
- 7. **Technical Protection Mechanisms.** Implementation of mechanisms such as encryption that prevent the preservation of content by a trusted repository.

http://www.digitalpreservation.gov/formats/sustain/sustain.shtml

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Rebuilding the Castle

The Texas Digital Archive

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TSLAC's Mission

- Preserve the record of government for public scrutiny,
- Secure and make accessible historically significant records and other valuable resources, both for print and electronic documents,

Been having issues with the electronic part. Now looking to change that.

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Talking to Governor's Office

- Began in February, 2014
  - Transferring paper and approximately 10TB of electronic records in January, 2015.
- Detailed discussions with Gov Office personnel
  - Organization of the records
  - Types of records to transfer
  - Mechanism of transfer
- Support for the project
  - Funding
  - Technical support – CTS database
- Involved DIR from beginning as well

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Texas Digital Archive

Using the Governor's records as the foundation we are looking to design a system that will allow TSLAC to:

- Ingest electronic records from state agencies
- Validate and track digital formats over time
  - Monitor integrity and security of digital files
- Migrate to sustainable formats for preservation
- Collect and store all appropriate metadata about the records
- Allow for proper access to records that meets the needs of our users
  - Provide records in access formats based on user needs
- Follow appropriate archival standards for preservation

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Standard #1 - OAIS Model

- Reference Model for Open Archival Information Systems (OAIS)
- ISO 14721 (2003)
- Published January 2002
- Consultative Committee for Space and Data Systems
  - NASA, NARA, many others
- Maps workflow of electronic records from producer-archive-reference user

37

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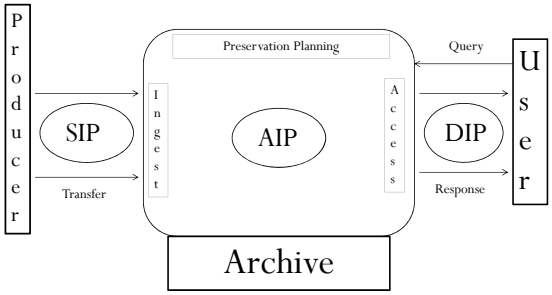
OAIS In a nutshell



38

OAIS Processes

- Ingest
  - SIP: Submission Information Package
    - Object(s) transferred to archive
    - Metadata – Provided by the producer
- Archival Storage
  - AIP: Archival Information Package
    - Objects(s) received – Original format and/or Normalized preservation format
    - More Metadata – Technical, Descriptive, Administrative
  - Administration
    - Data Management – Tracking metadata, Integrity checks, Security
    - Preservation Planning – Format validation, Migration
- Access
  - DIP: Dissemination Information Package
    - Object(s) requested - Access format
    - Metadata – Enough to meet the user's needs

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Standard #2 – Trustworthy Digital Repository

- **ISO 16363** – Requirements for Audit and Certification of Trustworthy Digital Repositories
  - TDR: Attributes and Responsibilities
    - Project leaders: NARA, RLG and OCLC
    - May 2002
  - TR Audit and Certification (TRAC)
    - Center for Research Libraries (CRL)
    - Criteria and Checklist – Self Assessment
    - February 2007
  - Replaced by ISO 16363 (2012)

- Focuses on:
  - Administration
  - Policies and Procedures
  - Technology and Infrastructure

40

What is a Trustworthy Digital Repository?

- A repository whose mission is to provide reliable, long-term access to managed digital resources to its Designated Community, now and into the future.
- A trustworthy digital repository will:
  - Understand threats to and risks within its systems
  - Provide constant monitoring, planning, and maintenance of the objects stored in the system
  - Has a clear implementation strategy to carry out the mission of digital preservation

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METRIC 3.1.2

- The repository shall have a preservation strategic plan that defines the approach the repository will take in the long-term support of its mission.
  - Move to a "Financially Sustainable" program
  - Strategic Plan
  - Identify all the "Designated Communities"
    - Anyone who uses the repository
    - Not just end users also:
      - Content providers – Agencies
      - Stakeholders

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METRIC 4.3.1

- The Repository shall have documented preservation strategies relevant to its holdings.
  - Develop a Systematic Approach to digital preservation
    - Policies and Procedures
    - Guidance to agencies
  - Define the SIP (what agencies send to us) and the AIP (what we are going to preserve)
  - All records integrated into a single preservation AND access program
  - System for validating & monitoring the integrity of the records

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METRIC 5.2.1

- The Repository shall maintain a systematic analysis of the security risk factors associated with data, systems, personnel, and physical plant.
  - Multiple-geographically dispersed copies of AIP
  - More defined security, backup, disaster plan (migration strategy)

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Summary – Texas Digital Archive

- Main Points:
  - Ingest the records into the archive
  - Apply appropriate metadata
    - Accession info
    - Administrative
    - Preservation/technical
  - Make the records accessible (arrangement, description)
  - Ongoing Maintenance/Preservation

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Plans for the Future

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Continued Communication and Collaboration

- Work with RMICC to create an Electronic Records Working Group
  - Focus on issues related to electronic recordkeeping and preservation
  - Bring together broad group of focus and interests
  - Make sure we are all talking AND listening to each other

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Communicating with IT

- IT maintains the technology, not the records
  - Primary concern is security and keeping the network up running
- IT focuses on maintaining the storage devices
  - IT does not consider long-term access/preservation – *unless you tell them*
- Data owner must *define* its need for retention and *communicate* with IT
  - Data owners often assume IT is already addressing this need
- Learn *how* to talk to IT
  - Terminology
  - Motivations
  - Listen to them - hear what they are saying

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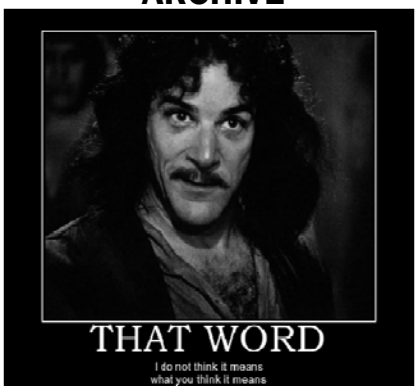
"ARCHIVE"



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Building Partnerships with Other Agencies

- Future goal is to take in records from other state agencies
  - Look for a survey!
    - Volume of electronic records
    - Formats – what's out there
    - What issues/needs to agencies have
- Assist agencies in managing their non-permanent records
  - Best practices and procedures for digital preservation
  - Work with SLRM to develop training packages for digital preservation
  - Serve as a knowledge base for state and local agencies

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Questions?

Thank You!

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(512)463-5434

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NOTES/ACTION ITEMS

Have Fun Storming the Castle! The importance of records management & IT collaboration for digital preservation and the development of the Texas Digital Archive

Mark Myers, Texas State Library and Archives Commission

NOTES

Have Fun Storming the Castle! The importance of records management & IT collaboration for digital preservation and the development of the Texas Digital Archive

Page Two

NOTES

ACTION ITEMS (relevant ideas /next steps)

1.

2.

3.

4.

5.

Presentation

Intentional Design: Embedding Records Management Into Technology

John Rhoades, Access Sciences Corporation

This session will discuss how to engage user communities in defining records management requirements during technology design. Specific focus will be given to a proven process for completing iterative, agile development that achieves your compliance objectives.

Intentional Design: Embedding Records Management into Technology

November 18, 2014

John Rhoades

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Sound Familiar?

It takes forever to find what I need.

Where do I store this record?

Why can't we have a Google-like search?

Records Management requirements are not incorporated into both system design and user experience design

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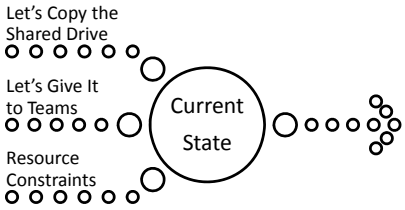
How Did We Get Here?



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Outcomes from Today

- Identify symptoms associated with lack of integrating records management requirements into technology design
- Describe how records management requirements can be embedded into technology design
- Define techniques for making good design "stick"

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Intentional Design: Overview

Methodology for integrating content lifecycle management requirements, user experience requirements, and technology requirements into a coherent system that delivers business value

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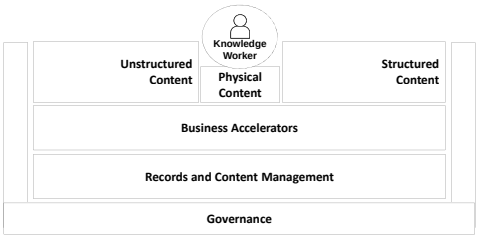
Intentional Design: Overview

The Knowledge Worker Ecosystem



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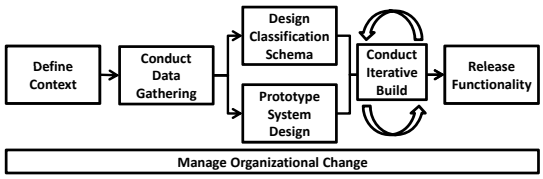
Intentional Design: Process



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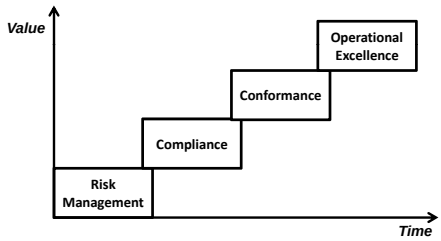
Intentional Design: Process

Define the Context



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Intentional Design: Process

Conduct Data Gathering

- Mobilize team with both functional and technical skillsets
- Examine file shares and existing repositories first to gain insight on current practices
- Utilize select subject matter experts (SMEs) to provide feedback on specific workgroups or departments
- Design data gathering approach based on program context

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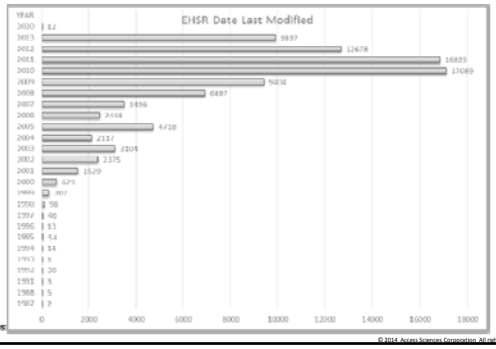
Intentional Design: Process

Conduct Data Gathering



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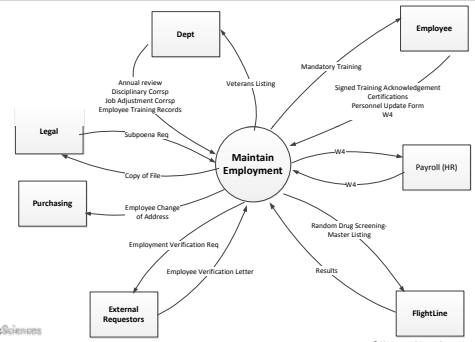
Intentional Design: Process

Conduct Data Gathering



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Intentional Design: Process

Design Classification Schema

- Agree to development of faceted classification to achieve rich user experience
- Utilize existing standards to jumpstart development of tags and values
- Determine pervasiveness of the schema
- Engage SMEs in validating the schema

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Intentional Design: Process

Design Classification Schema

Global Tags		Local Tags
Function		Well
Activity		Log Type
Document Class		Log Date
Document Type		
Retention Schedule Code		
Business Unit		
Country		

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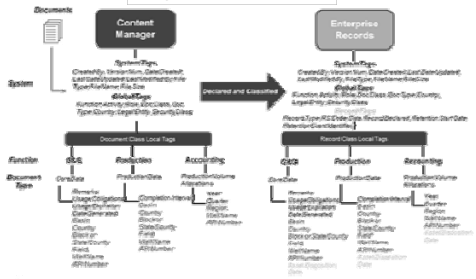
Intentional Design: Process

Design Classification Schema



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Intentional Design: Process

Prototype System Design

- Process will be different based on the specific system selected
- Principles to follow include:
  - Focus on out of the box functionality
  - Evaluate opportunities for “openness”
  - Accommodate both “finders” and “searchers”

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Intentional Design: Process

Conduct Iterative Build

- Focus on well timed, measured releases rather than "big bang"
  - Prevents risk of requirements being excluded due to time pressures
  - Allows for refinement of requirements at a more granular level
- Utilize Agile rituals to manage work
  - Stories
  - Weekly sprints
  - Sprint planning
  - Scrum sessions
  - Retrospectives

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Intentional Design: Process

Conduct Iterative Build

As an HR Generalist, I need to designate the retention period for an employee file to be determined from their date of termination so that we are compliant with State and Federal laws.

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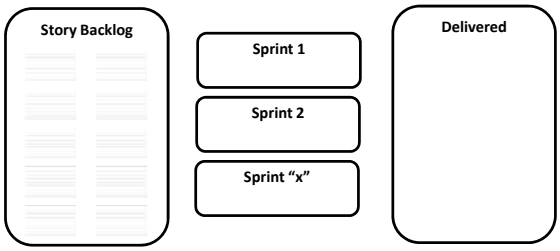
Intentional Design: Process

Conduct Iterative Build



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Intentional Design: Process

Release Functionality

- Characteristics of early release candidates
  - Known complexity
  - Moderate size user group
  - Change resilient
  - Ability to influence
- Aggressively plan for the overlap of build, release, and support activities
- Develop health checks to gauge risks and measure user adoption

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Intentional Design: Process

Manage Organizational Change

Strategic ↕ *Tactical*

- **Leading Change**
- **Architecting Organizations**
- **Aligning Culture**
- **Accelerating Performance**
- **Engaging the Workforce**

↕ *Senior Leadership* – *Individual Contributor*

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Intentional Design: Process

Manage Organizational Change

	In Scope?	*Anticipated Need*
Leading Change	☐	*Low* → *Medium* → *High*
Architecting Organizations	☐	*Low* → *Medium* → *High*
Aligning Culture	☐	*Low* → *Medium* → *High*
Accelerating Performance	☐	*Low* → *Medium* → *High*
Engaging the Workforce	☐	*Low* → *Medium* → *High*

Scope Description

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Intentional Design: Process

Manage Organizational Change

- Organizational communications should raise awareness both at an enterprise level and department level
- Stakeholders must be actively managed to ensure proper levels of support
- Training should be viewed as a process, not an event

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Does It Work?

Case Study

Global Energy Client

- **Context**
  - 4,500 employees and 1,500 contracts in one major business unit
  - ~600 SharePoint sites supported by ~300 FTEs
  - Significant issues with gaining / losing access to critical information
- **Outcomes**
  - ~75 SharePoint sites supported by ~30 FTEs
  - Common templates and design across the business unit
  - Taxonomy governs site structure and document classification
  - Faceted search enables refiners to achieve end user"retail" experience

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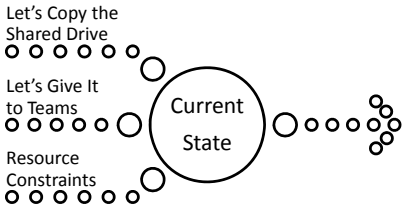
A Note on Migration



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- Define techniques for making good design "stick"

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Thank You!

Access Sciences

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NOTES/ACTION ITEMS

Intentional Design: Embedding Records Management Into Technology

John Rhoades, Access Sciences Corporation

NOTES

NOTES

ACTION ITEMS (relevant ideas /next steps)

1.

2.

3.

4.

5.

Presentation

Negotiating Enterprise Metadata Standards for E-Records

Jessica Higgins, City of Austin
and
Katherine Cranford, City of Austin

Electronic records require robust metadata in order to be useful and findable. Metadata can be powerfully shared across entire organizations if stakeholders are willing to agree on metadata standards and definitions. The City of Austin, Texas is implementing an enterprise electronic records management system to standardize records management practices, retention requirements, and destruction procedures. In this session, we will present case studies of our experiences working with key stakeholder groups to establish enterprise metadata standards for electronic records. Participants will benefit from the City of Austin's challenges and lessons learned as they implement their own records management systems.

Negotiating Enterprise Metadata Standards for E-Records

Katherine Cranford and Jessica Higgins
Office of the City Clerk
November 18, 2014

Introductions

Katherine Cranford

- Corporate Records Analyst
- MSIS, UT School of Information
- Former content taxonomist
  - Dell
  - Demand Media

Jessica Higgins

- Business Systems Analyst
- MSIS, UT School of Information
- Consultant/Analyst for Enterprise Document & Imaging Management System (EDIMS)

Overview – Negotiating Metadata Standards

- What's in it for me?
- Barriers preventing successful negotiation
- Stakeholder engagement
- Identifying user needs
- Coming to a consensus
- Implementation
- Maintenance
- Then what?

What's in it for me (and/or my stakeholders)?

Collaborative metadata:

- Increases record sharing, decreases duplicate work
- Increases transparency & access, promotes consistency
- Teaches and reinforces RIM concepts
- Builds knowledge & awareness (for you *and* your stakeholders)

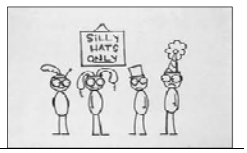
… Sounds great! Why haven't we done it yet?

Barriers preventing successful negotiation

- Organizational structure
- Politics and Processes
- Fear of change
- Time and staffing constraints
- Low incentives
- Lack of information governance
- Uncontrolled information growth

Additional considerations for government

- Older technology
- Bureaucracy/Red tape
- Small budgets
- Government workers wear many hats
  - More business functions
  - More records
  - More metadata



Example - Boards and Commissions Documents

Agendas, Minutes, Backup, etc.

Problems:

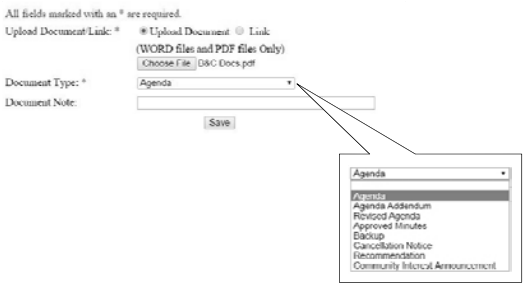
- No consistent way to share documents with the public or other boards/commissions
- Retention & custody issues
- Hundreds of staff liaisons working separately
- No standards for indexing documents, fluid categories

Example - Boards and Commissions Documents

Solution:

- Define indexing terms and categories
- Streamline posting process through central upload site - review documents & metadata for consistency
- Import into document management system and share through austintexas.gov

Example - Boards and Commissions Documents



2014 Meetings: Austin Music Commission

Meeting documents are also available for 2013 | 2012 | 2011 | 2010 | 2009

October 7, 2014
Special Called Meeting of the Austin Music Commission
- Agenda (28KB)

October 6, 2014 (Cancelled)
Regular Meeting of the Austin Music Commission
- Cancellation Notice (40KB)

August 4, 2014
Regular Meeting of the Austin Music Commission
- Agenda (185KB)
- Recommendation - 20140804-D002: Austin Music Memorial Indefinite Moratorium (24KB)
- Recommendation - 20140804-D004: Street Performers & the Art of Busking (45KB)
- Backup (54KB)
- Backup (221KB)

Stakeholder engagement

- Provide visuals and examples of successful projects
  - As always, be careful with sensitive information
- Articulate incentives
  - Remember: What's In It For Me?
- Challenge fears and assumptions
- Start with small projects
- Allow time for feedback and iteration

Stakeholder engagement

- Know your audience, adjust accordingly
- Engage passionate people
  - Subject Matter Experts
  - Managers
  - Supporters *and* detractors
- **Work with data experts**, because they:
  - Know the system's skeletons
  - Can extract valuable data

Example - Human Resources Files

- Thousands of files already scanned.
- Files named using unique IDs.
- Information contained in HR database was queried to provide metadata.
- Unique IDs were matched and metadata could be imported easily!

Example - Human Resources Files

Problems:

- Dates were exported in the wrong format for EDIMS
  - Years only had 2 digits: <Hire date 12/2/10>
  - Format: "General" vs. "Date"
- Leading zeros had been dropped in the file
  - 012342345 stored as 12342345
  - Common problem with .xls & .xlsx files

Example - Human Resources Files

Solution:

- Scanned files were named with unique IDs
- Data could be pulled from database and reformatted as needed
- Data was easily matched back to files (using IDs)

Result: 10 minute fix, lesson learned!

Identifying user needs

- Conduct interviews with your stakeholders
- Define the scope of the project
- Define workflows & business processes
  - How is a workflow initiated?
  - Are there other groups who depend on this process?
- Define user groups and permissions levels
  - Who needs access within the group?
  - Are there others outside the group who want to be included?
- Document your findings!

Questions to Ask

- Can you identify what's **essential** to capture?
  - Are there unique IDs?
- What additional fields would enhance functionality?
- Are categories discrete, or do they overlap?
- How should the fields be displayed?
  - Dropdown? Free text? Check box? Radio button?
- Can you identify and manage retention triggers?
  - Ex: Termination date, Date filed

Metadata standards

There are many standards out there, including:

NAICS **Dublin Core** MARC

PREMIS ANSI/NISO EAD

Do any of these meet your needs?
If not, consider custom metadata.

Considering custom metadata

Pros

- More precise/specific terms – less guessing!
- Easier to apply for users due to familiar terminology or categories
- More customization makes detailed reporting possible
- Directly address user needs

Cons

- May be *too* precise/specific - too much to index!
- Requires extra effort to develop and maintain, when terms change
- More customization may make it harder to upgrade
- You won't please everyone

Questions to Ask

- Which metadata fields should be required?
- Which metadata fields need to be reviewed regularly?
  - How?
  - Does data live in more than one place?
- Do names/labels ever change?
  - When? How do you manage the change?
- Which metadata fields can be shared across groups?
- How will you accommodate several groups' needs?

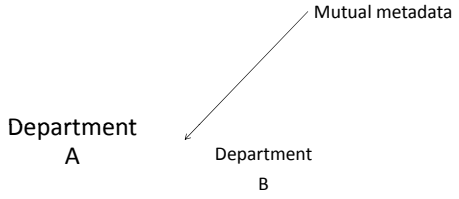
Example - Construction Project Files

- Surveys
- Permits
- Environmental studies
- Change orders
- Photos
- Maps/Plans
- Meeting minutes
- etc.

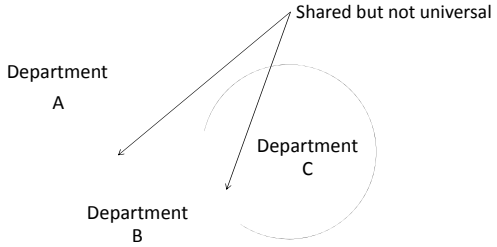
Example - Construction Project Files

- Many departments are involved in construction
  - Contract Management, Public Works, Real Estate, etc.
- Documents are managed by divisions within each department
- Data is managed in the same system – Unique ID
- User needs are slightly different
  - One group needs to include a building number
  - One department has a specific project number in addition to the unique ID

Mutually Shared Metadata



Mutually Shared Metadata



- Project Manager's Name
- Meeting Date (Minutes)

Coming to a consensus

- Review proposed workflow with the group
- Create a mockup of what the metadata will look like
  - What tools do you have to create visuals for users to evaluate?
- Review mockup with your stakeholders
- Adjust accordingly

Coming to a consensus

- Create (and/or enforce) standard procedures
- Designate conventions for metadata
  - Example: pad item numbers to three digits (023, 001, 102)
- Identify exceptions and patterns upfront
- Plan for expansion and growth
  - Minimize data entry
  - Create templates for reuse

Metadata fields:

Project Name
File Category (w/ID)
Subproject ID
Document Date
Part Number
Notes
Document Name
Author
Document Type
Application
Document Number (ID)

Questions to Ask

- If we designate a required field, can every group complete it every time?
- Are groups able to **define** their terms consistently?
  - Do different groups agree on definitions?
- Does your technology allow you to rename items if necessary?
  - ex: (Architectural) Supplemental Instructions = ASI
- Can you disable some list options for a group (so they don't have to sort through irrelevant options)?

Then comes the easy work…

Implementation - The end!

Ha ha, just kidding.

The work is never done!

Maintenance

- Train users (or train the trainer)
- Check in periodically - Make modifications as needed
- Ensure process is built in to the day-to-day procedures
  - Quality control measures
- Follow up with more in-depth training as needed
- Identify expansion projects

Hard Mode – Advanced ERM

- Convene a steering committee for information governance
- Promote successful implementations
- Recognize and reward key players
- Incorporate tasks into performance reviews
- Develop standardized training/materials that will lead to greater awareness
- Document key findings from successes and failures to share

What happens if it just doesn't work out?

- Negotiation sometimes fails.

- Consider a **BATNA:**
  (Best Alternative to a Negotiated Agreement)
  - Compiling actions you might take if no agreement is reached
  - Converting promising ideas into tangible and partial alternatives
  - Selecting the best alternative

Want to learn more?

- **Metadata Standards**
  - NISO Press: http://www.niso.org/publications/press/
- **ECM (Enterprise Content Management)**
  - AIIM: http://www.aiim.org/Resource-Centers/Enterprise-Content-Management
  - Earley & Associates: https://www.earley.com/knowledge
- **KM (Knowledge Management)**
  - Atwood, Christee Gabour (2009). *Knowledge Management Basics.* ASTD Press.
- **Negotiation**
  - Fisher and Ury, Roger and William (2011). *Getting to YES.* Penguin Books.

The End! (Really, this time.)

Katherine Cranford

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Jessica Higgins

Business Systems Analyst
Jessica.higgins@austintexas.gov

NOTES/ACTION ITEMS

Negotiating Enterprise Metadata Standards for E-Records

Jessica Higgins, City of Austin
and
Katherine Cranford, City of Austin

NOTES

NOTES

ACTION ITEMS (relevant ideas /next steps)

1.

2.

3.

4.

5.

Presentation

Streamlining with SharePoint

Natalie Acevedo, Texas Department of Public Safety

The presentation will describe how the Texas Department of Public Safety was able to streamline the records management process, using the agency's available technology, Sharepoint. The Department was able to provide real time access and information to agency staff using limited technology in an innovative manner.

STREAMLINING WITH SHAREPOINT TEXAS DPS

NOVEMBER 2014

TOPICS

- DPS Records Management Overview
- Using SharePoint for:
  - Providing General Records Management Information
  - Automation of Processes
- Helpful Tools for Your Employees
- Visibility and Tracking
- Questions

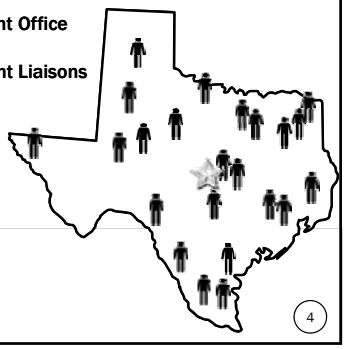
2

WHAT WE ARE NOT LEARNING ABOUT TODAY!

3

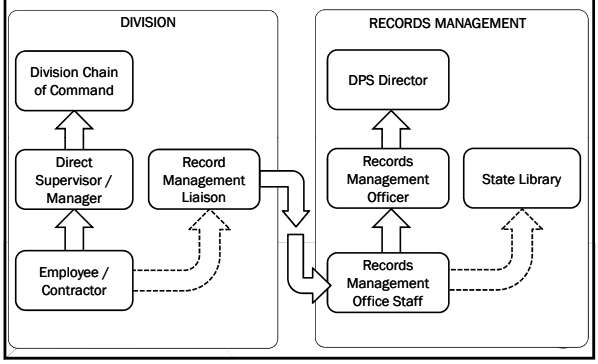
DPS RECORDS MANAGEMENT OVERVIEW

- HQ Records Management Office
- HQ Records Management Liaisons (RMLs)
- Statewide RMLs
- RML backup



4

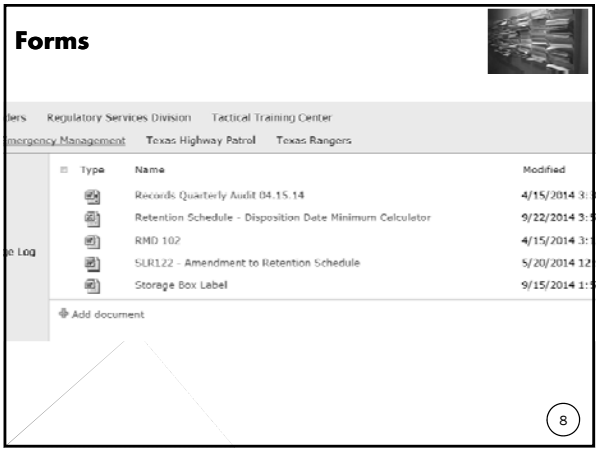
DPS RECORDS MANAGEMENT OVERVIEW

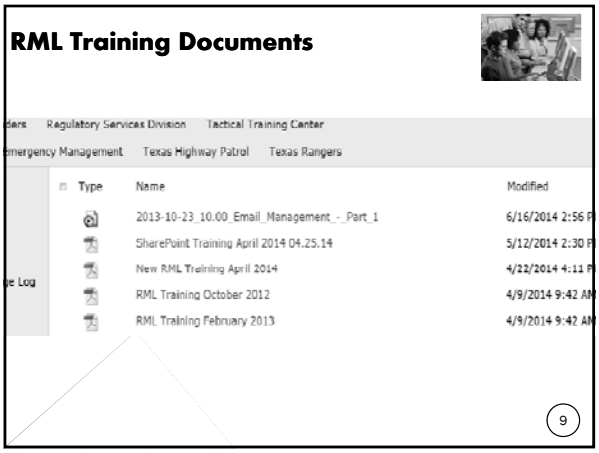


Providing General Records Management Information

6

Welcome to the
DPS Records Management SharePoint page!
This site provides information and resources to assist DPS employees and contractors in managing state records.
Please click on a picture below for more information!
Forms
RML Training Documents
Calendar of Events
Storage of Records
Records Retention Schedule Documents
Records Management Liaison (RML)
Texas State Library & Archives Information
Records Management Online Training
7

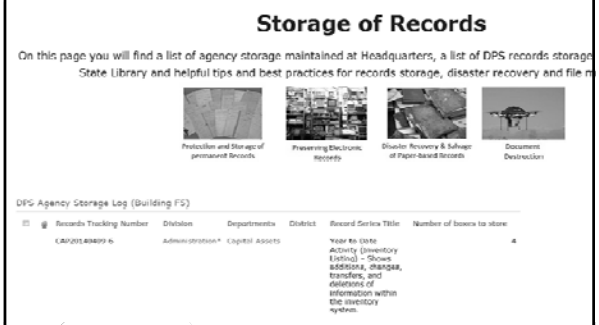

Forms
Regulatory Services Division
Tactical Training Center
Texas Highway Patrol
Texas Rangers
Type
Name
Modified
Records Quarterly Audit 04.15.14
Retention Schedule - Disposition Date Minimum Calculator
RMD 102
SLR122 - Amendment to Retention Schedule
Storage Box Label
Add document
8


RML Training Documents
Regulatory Services Division
Tactical Training Center
Texas Highway Patrol
Texas Rangers
Type
Name
Modified
2013-10-23_10.00_Email_Management_-_Part_1
SharePoint Training April 2014 04.25.14
New RML Training April 2014
RML Training October 2012
RML Training February 2013
9

Calendar of Events

10

Storage of Records



11

Records Retention Schedule Documents

Type	Name	Division
	05.03.2013 DPS RetentionSchedule	Home
	2013 - Administration Retention Schedule	Administration
	2013 - Aircraft Retention Schedule	Aviation Operations
	2013 - All Divisions Retention Schedule	Home
	2013 - CAO Retention Schedule	Public Safety Commission
	2013 - Capital Assets Retention Schedule	Administration
	2013 - Capitol Detail Security Retention Schedule	Regional Commanders
	2013 - Chief of Staff Retention Schedule	Homeland Security
	2013 - CID Retention Schedule	Criminal Investigations Division
	2013 - Crime Lab Office Retention Schedule	Law Enforcement Support Division
	2013 - Crime Records Retention Schedule	Law Enforcement Support Division
	2013 - Director's Office Retention Schedule	Directors Office
	2013 - DLD Retention Schedule	Driver License
	2013 - EEO Retention Schedule	Homeland Security
	2013 - EPD Retention Schedule	Homeland Security

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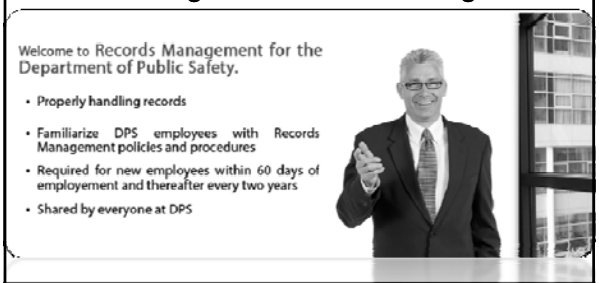
Records Management Liaison (RML)

13

Texas State Library and Archives Information

14

Records Management Online Training

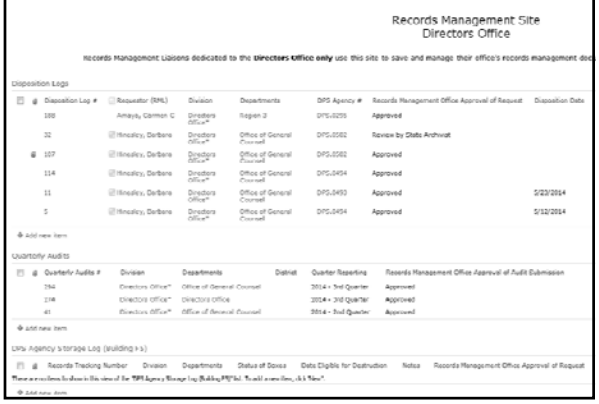


15

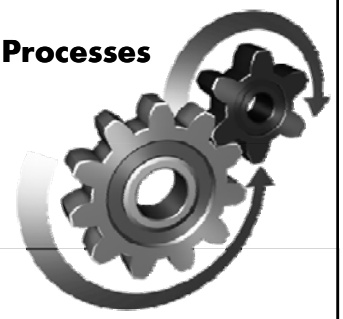
DIVISION SITE PAGES

16

DIVISION SITE PAGES



Automation of Processes



18

Steps for Success!!

1. Create a spreadsheet with your retention schedule information.

19

Steps for Success!!

1. Create a spreadsheet with your retention schedule information.
2. Create a group with permissions for personnel approvals.

20

Steps for Success!!

1. Create a spreadsheet with your retention schedule information.
2. Create a group with permissions for personnel approvals.
3. Develop a list of criteria/questions for your agency need.

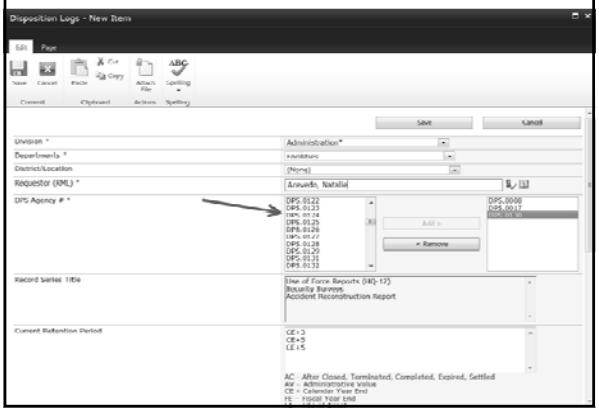
21

Steps for Success!!

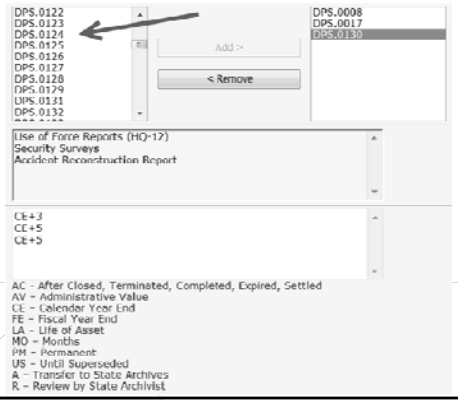
1. Create a spreadsheet with your retention schedule information.
2. Create a group with permissions for personnel approvals.
3. Develop a list of criteria/questions for your agency need.
4. Import data and generate the list template!

22

Automation of Processes



Automation of Processes



24

Additional list fields:

1. Are these records a part of an open records request or pending litigation?

25

Additional list fields:

1. Are these records a part of an open records request or pending litigation?
2. Manner of disposition (shred, recycle, delete, etc.)

26

Additional list fields:

1. Are these records a part of an open records request or pending litigation?
2. Manner of disposition (shred, recycle, delete, etc.)
3. Additional notes for submission

27

Additional list fields:

1. Are these records a part of an open records request or pending litigation?
2. Manner of disposition (shred, recycle, delete, etc.)
3. Additional notes for submission
4. **Actual disposition date**

28

Automation of Processes

Division list of requests

Add new item

Issue ID	Requestor (RML)	Division	Departments	DPS Agency #	Records Management Office Approval
195	Trottier, Aldee	Homeland Security*	Media and Communications	DPS.0299	Pending
196	Henderson, Virginia	Criminal Investigations Division*	Criminal Investigations - Administration	DPS.0388	Pending
197	Smith, Zoe	Law Enforcement Support Division*	Crime Lab - Austin	DPS.0458	Pending
198	Smith, Zoe	Law Enforcement Support Division*	Crime Lab - Austin	DPS.0279	Pending
199	Smith, Zoe	Law Enforcement Support Division*	Crime Lab - Austin	DPS.0499	Pending
200	Faucett, Lori	Regional Commanders*	Region 7	DPS.0325	Pending

29

Automation of Processes

Division list with filter

Add new item

Issue ID	Requestor (RML)	Division	Departments	DPS Agency #	Records Management Office Approval
197	Smith, Zoe	Law Enforcement Support Division*	Crime Lab - Austin	DPS.0458	Pending
198	Smith, Zoe	Law Enforcement Support Division*	Crime Lab - Austin	DPS.0279	Pending
199	Smith, Zoe	Law Enforcement Support Division*	Crime Lab - Austin	DPS.0499	Pending

Add new item

30

Functionality

1. Filter lists to only view one business area, submitter, or type of record.

31

Functionality

1. Filter lists to only view one business area, submitter, or type of record.
2. Correspond utilizing the list tool, in lieu of emails.

32

Functionality

1. Filter lists to only view one business area, submitter, or type of record.
2. Correspond utilizing the list tool, in lieu of emails.
3. Set alerts and receive automated emails when updates have been made to your list.

33

Functionality

1. Filter lists to only view one business area, submitter, or type of record.
2. Correspond utilizing the list tool, in lieu of emails
3. Set alerts and receive automated emails when updates have been made to your list.
4. Change views to meet specific needs.

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Helpful Tools for Your Employees

35

Retention Period Calculator

File | Open in Excel | Data | Find

	A	B	C	D	E
1	RETENTION	MUST BE OLDER THAN	RETENTION	MUST BE OLDER THAN	RETENTION
2	10 days	10/5/2014	AC+90 days	//1//2014	CE+1 year
3	90 days	//1//2014	AC+1 year	10/15/2013	CE+2 years
4	9 months	//15/2014	AC+2 years	10/15/2012	CE+3 years
5	1 year	10/15/2013	AC+3 years	10/15/2011	CE+5 years
6	13 months	9/15/2013	AC+4 years	10/15/2010	CE+10 years
7	2 years	10/15/2012	AC+5 years	10/15/2000	CE+15 years
8	3 years	10/15/2011	AC+6 years	10/15/2008	FE+1 year
9	4 years	10/15/2010	AC+7 years	10/15/2007	FE+2 years
10	5 years	10/15/2009	AC+10 years	10/15/2004	FE+3 years
11	10 years	10/15/2004	AC+15 years	10/15/1999	FE+5 years
12	20 years	10/15/1994	AC+20 years	10/15/1994	FE+6 years
13	25 years	10/15/1989	AC+25 years	10/15/1989	LA+1 year
14	30 years	10/15/1984	AC+30 years	10/15/1984	LA+3 years
15	40 years	10/15/1964	AC+40 years	10/15/1959	LA+10 years

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FAQs Discussion Board

Topic : Alerts (1)

Alerts	How do I set up an alert to inform me when a disposition log has been approved/denied?

Topic : Amendments to the Schedule (1)

Amendments to the Schedule	Do I submit form SLR 122 for a change to the OGC retention schedule?

Topic : Audits (7)

Audits	Texas Highway Patrol Captain's Admins are currently responsible for auditing their districts
Audits	Can you audit documents not on the retetion Schedule?
Audits	Can I audit electronic records?
Audits	Are these the only audits that will be completed for records each quarter?
Audits	How do I audit records for my division?
Audits	How do I choose what areas within my division to perform an audit on?
Audits	What is the purpose of conducting records audit?

37

Tracking & Visibility

Tracking & Visibility

Centralizing processes on SharePoint assists with tracking and visibility into:

- Agency records processes at an enterprise level.

39

Tracking & Visibility

Centralizing processes on SharePoint assists with tracking and visibility into:

- Agency records processes at an enterprise level.
- Status of records disposition if responding to a request.

40

Tracking & Visibility

Centralizing processes on SharePoint assists with tracking and visibility into:

- Agency records processes at an enterprise level.
- Status of records disposition if responding to a request.
- Location of records and who to contact if there are questions regarding them.

41

QUESTIONS?

Natalie Acevedo
(512) 424-2037
recordsmanagement@dps.texas.gov

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NOTES/ACTION ITEMS

Streamlining with SharePoint

Natalie Acevedo, Texas Department of Public Safety

NOTES

NOTES

ACTION ITEMS (relevant ideas /next steps)

1.

2.

3.

4.

5.

Presentation

ERM Case Study - Implementation of ERM Standards

Barbara Mercer, Information Network International
and
Stephen Sepulveda, PacoTech, Inc.

This session will provide an overview of how a Texas state agency, Information Network International, and PacoTech identified challenges and solved them in a collaborative environment during the implementation of ERM policies and procedures.

Implementing Standards for Electronic Records Management

Case Study presented by:

Barbara Mercer
Stephen Sepulveda

The 4 Disciplines of Execution

- Focus on Wildly Important Goals
- Act on Lead Measures
- Maintain Compelling Scoreboard
- Create a Cadence of Accountability

The 4 Disciplines of Execution by Chris McChesney, Sean Covey, Jim Huling, Free Press Copyright © 2012 by FranklinCovey Co.

Wildly Important Goal

Change priority from managing physical to electronic records

Although not intellectually challenging, this is a huge psychological challenge.

Lead Measures

- Move legacy images from external to internal repositories.
- Convert paper documents to images scanned internally on-site.
  - Documents currently stored on shelves – Convert backfile.
  - Incoming documents – Create new record or interfile into existing record.
- Accept electronic files as source documents.

Whirlwind → Current Activities

- Manage 2.4 million records
  - Onsite 275,000 Linear Inches
  - Offsite 12,000 Boxes
  - Over 7 total miles of physical files
- Create 109,000 new records each year ≈ 5% growth rate
  - Receive and file 28,000 additional linear inches each year ≈ 6% growth rate
- Fulfill 20,000 public and agency requests ≈ 80 each day
  - Retrieve or Verify 244,000 records ≈ 950 each day
  - Average 12 records per request
- Responsive to 2,000 agency employees and host public visitors

Develop ERM Policy

- Interview Agency Representatives.
- Develop ERM Plan.
- Confirm our plan met their expectations and requirements.
- Revise records managements practices & techniques to accommodate filing electronic records.
- Leverage existing records management system.
- Integrate existing systems with records management process.

Define Tasks

- Change strategy from managing records at physical folder level to managing electronic documents within virtual folders.
- Maintain existing agency procedures & coding techniques for submitted records.
- Track status of documents through new workflow process from "Received" to "Available for Retrieval."
- Validate image quality & coding relevance.
- Automate process to link electronic files submitted by Agency Staff with record inventory managed through *InSight* desktop application.
- Expand deployment of *InSight EveryWhere* intranet application to broader range of Agency Staff.

Define Lingo

- **Backfile:** Records staff create scanned image of documents currently shelved in Central Records on a folder-by-folder basis.
- **Day Forward:** Agency staff submit physical documents through interagency mail & records staff create scanned images at document level.
- **Electronic Submittals:** Agency staff copy electronic objects to secure personal directory stored on internal file server.
- ***InSight RIM*:** Automated records management system that contains hierarchical classification elements, retention and destruction policy in accordance with TSLAC standards ad indexing standards for physical and electronic inventory items.

Define Electronic Records Standards

- Standards for electronic records align with those for physical.
- Agency Staff:
  - Responsible for content, format, submittal, and coding of electronic records just as they are for physical ones.
- Process:
  - Leverage existing hierarchal classifications, retention schedules, security structure, and indexing rules.
  - Move rejected files to special folder so records analyst may communicate with Agency Staff to explain why.
  - Link unlimited quantity of objects to virtual record.
  - Accept variety of electronic extensions.
  - Specifically exclude files with .EXE extension.

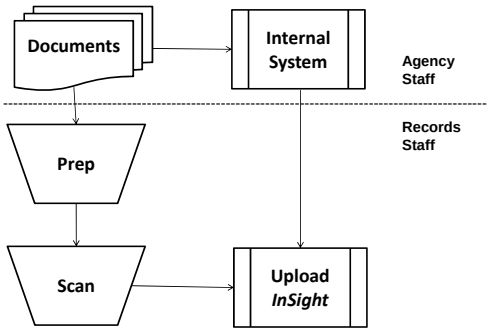
Identify Opportunities for Improvement

- Converted nearly 600,000 images hosted by external vendor (Software As A Service) to internal, secure repository.
  - Recognized quality control issues with legacy indexing & images.
  - Reduced internal storage by 60% by programmatically eliminating 270,000 duplicate or redundant images.
  - Eliminated manual coding of images by integrating primary indexing data from financial system directly into *InSight* for specific accounting documents, Vouchers and Timesheets.
- Consolidate imaging efforts for all program areas to central on-site group.
  - Eliminate individual program areas becoming experts in process to control inventory for imaging operations.

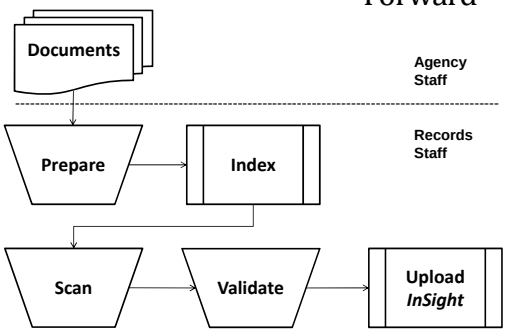
System Integration Projects

- Identify business function:
  - Commit resources knowledgeable in source application.
  - Understand critical workflow.
  - Identify relevant indexing elements.
- Develop prototype:
  - Test.
  - Confirm results.
  - Modify as necessary.
- Schedule deployment for production.
- Train agency staff.

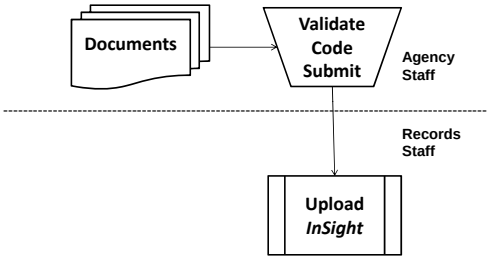
Imaging Process -- Integrated



Imaging Process – Backfile and Day Forward



Electronic Submittals



Statistics

- Number of Series Imaged
- Linear Inches Imaged
- Number of Electronic Records Produced
- Number of Records Quality Inspected
- Linear Inches Destroyed
- Oversize Records Created
- Number of Electronic Submittals Received
- Optical Discs Duplicated
- VHS/Cassette Tapes Converted/Duplicated
- Total GB Used
- Total GB Free
- Total Electronic Files Managed
- Monthly GB Growth through Imaging and Electronic Submittals

Training

- **Agency Staff**
  - Update Document Coding
  - Publish Imaging Guidelines
  - Use *InSight EveryWhere* (web application)
- **Training Techniques**
  - Written Procedures
  - Classroom Training
  - Video Tutorials

Far Out Wildly Important Goals

- Allow public access to electronic repository.
- Increase electronic submittals to additional program areas.
- Expand imaging services to record collections not managed by Central File Room records staff.
  - Currently about 70% managed within Agency program area.
- Expand service and process to state-wide field offices.

Take Away

- Start something now – Always easier to critique & improve something than to begin with blank page.
- Changes in technology always will outpace your knowledge, experience or comfort level.
- Never enough time or money.
- Key ingredients:
  - Understanding workflow.
  - Documentation.
  - Training.

Contact Information

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(713) 688-0404
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NOTES/ACTION ITEMS

ERM Case Study - Implementation of ERM Standards

Barbara Mercer, Information Network International
Stephen Sepulveda, PacoTech, Inc.

NOTES

ERM Case Study - Implementation of ERM Standards
Page Two

NOTES

ACTION ITEMS (relevant ideas /next steps)

1.

2.

3.

4.

5.

Records and Information Management For State Agencies and State Universities

R·M·I·C·C
RECORDS MANAGEMENT INTERAGENCY COORDINATING COUNCIL

www.rmicc.state.tx.us

RMICC studies records management issues and makes improvements to state records management. This group meets quarterly. See website for links to resources, meetings, and reports. RMICC delivers a biennial report to the legislature regarding activities and recommendations.

See website Resources link for this brochure and links to partner agencies.

Texas State Library and Archives Commission

Preserving yesterday, informing today, inspiring tomorrow.

www.tsl.texas.gov

SLRM

www.tsl.texas.gov/slrm
slrminfo@tsl.texas.gov

ARIS

www.tsl.texas.gov/landing/archives.html

State and Local Records Management Division (SLRM)

SLRM helps state agencies and local governments establish and implement records and information management programs.

Records Management Assistance Services: Training, Consulting, Records Retention Schedules, *The Texas Record* www.tsl.texas.gov/slrm/blog

State Records Center Services: Store inactive records in paper, microfilm, electronic formats, Disaster Recovery Vault, and Microfilming services

Archives & Information Services Division (ARIS)

The Texas State Archives preserves and documents the heritage and culture of Texas by identifying, collecting, and making available for research the permanently valuable official records of Texas government. Maintaining the official history of Texas government, the State Archives includes archival government records dating back to the 18th century.

By these records, all three branches of Texas government are accountable to the people. Taken together, the holdings of the Texas State Archives provide a historical foundation for present-day governmental actions and are an important resource for Texas studies.

DIR

www.dir.texas.gov

Technology in Texas Leadership, Solutions, Savings for Government and Education

DIR provides a statewide leadership role by leveraging the state's investment in shared technology, protecting technology assets and citizen privacy, simplifying access to government services and information, and promoting the innovative use of technology across the state.

IT Leadership: Each agency has an Information Resources Manager (IRM)
DIR Calendar: Training and events – from free webinars to conferences
Communities and Email Discussion Lists

THE ATTORNEY GENERAL TEXAS

www.texasattorneygeneral.gov

Open Govt. Hotline:
512-478-6736 or 877-673-6839

Open Govt. Cost Hotline:
512-475-2497 or 888-672-6787

The **Office of the Attorney General** issues rulings and decisions that determine whether information is open to the public under the Public Information Act (PIA) and other applicable laws. The **OAG** is also dedicated to educating the public and officials of their rights and responsibilities under the PIA. To that end, the **OAG** maintains an informative website, publishes the PIA handbook, operates two toll-free hotlines, and hosts or participates in various training sessions throughout the year. Finally, the **OAG** maintains an Enforcement Section that handles written, informal complaints concerning requests for information as well as, complaints of overcharges.

The **OAG** publishes the Open Meetings Act (OMA) handbook and does training on OMA.

Publications updated biennially: Public Information Act Handbook & Open Meetings Act Handbook.

Training and Conference: One-hour video training for each Act & Annual Open Government Conference.

RMICC 2014

Records and Information Management For State Agencies and State Universities

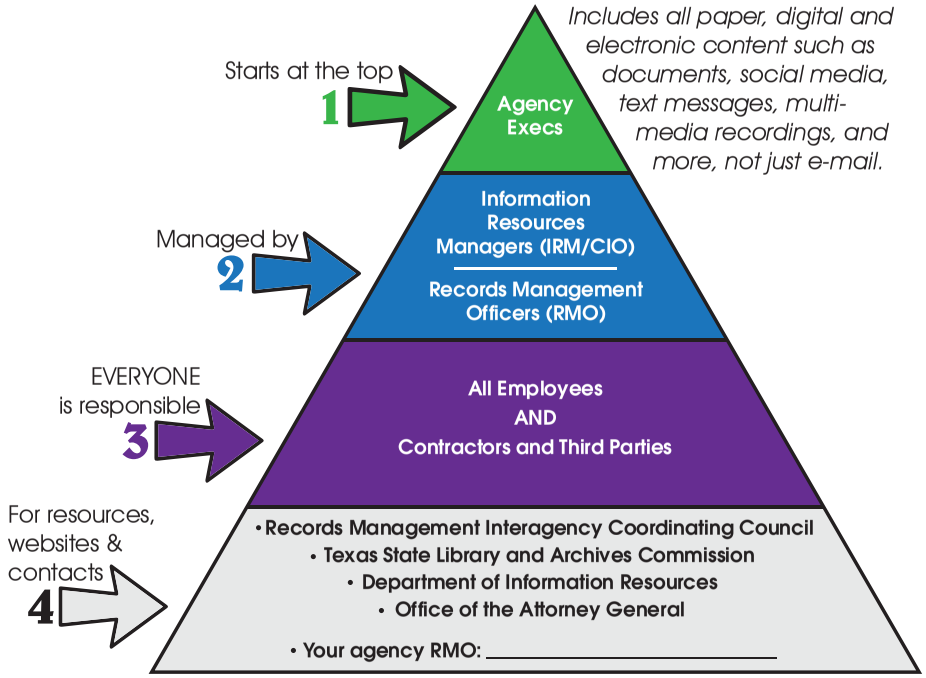
THE STATE OF TEXAS

More than a good idea

IT'S THE LAW

R·M·I·C·C
RECORDS MANAGEMENT INTERAGENCY COORDINATING COUNCIL

Records & Information Management



What are records? Almost anything you create or receive falls under the legal definition of a state record. The state records laws and TSLAC's administrative rules set out requirements you must follow.

Why are records Important? Records are valuable Texas assets. Government & citizens alike rely on records' reliability, accuracy and authenticity.

What do I need to know? Each state agency and university employee (EVERYONE) is responsible for following the laws and rules for creating, maintaining, and properly disposing of state records and public information. Find out your agency policies.

What is public information? The 83rd legislature (2013) updated the definition of public information to make it clear that it includes information made in connection with the transaction of official business and contained in e-mail, instant messages, text messages, etc. regardless of whether this information resides on agency or personal devices and accounts. Check the OAG website for exact laws.

What help is available? Each of the partner agencies (listed on the next page) offers resources, training, or advice in their area of records and information management. See the RMICC website for resources and links to partner agencies.

Your agency's Records and Information Management (RIM) Team is responsible for creating policies and procedures, retention schedules, staff training, and more. Agency staff roles include:

1 Agency Execs

Records and Information Management starts at the top. The Agency Head is ultimately responsible. The executive leadership and management team may include legal, administration, audit, program areas, information technology, and more.

2 Information Resources Manager (IRM/CIO)

This is the person responsible for information technology as required by statute and rules. Could be agency Chief Information Officer (CIO). (Contact DIR)

2 Records Management Officer (RMO)

This is either the Agency Head or the person designated by Agency Head to fulfill these duties. (Contact TSLAC)

2 Public Information Officer (PIO)

Your agency may have a combination of people responsible for open records. This is not always called the PIO. Your agency might have web pages to let the public know who to contact to make a request by e-mail or fax.

3 All staff play a role

Everybody creates or receives records. Some roles might be called records liaisons, records owners, records custodians, records creators, etc.

3 Contractors and third parties

When they have government records and information, include them, too

4 Your partners in Records and Information Management

Texas State Library and Archives Commission
www.tsl.texas.gov

R·M·I·C·C
Records Management Interagency Coordinating Council
www.rmicc.state.tx.us

www.texasattorneygeneral.gov

DIR
www.dir.texas.gov

Your Agency's RIM Team

Contact info here: _____

e-Records 2014

Collaboration in an RM-IT World

November 18, 2014

EXHIBITORS

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

Access Sciences Corporation

ARMA Austin

CommVault

Compu-Data International, LLC

DataPoint Solutions, Inc.

iCaught Inc

Image API, LLC

Information Network International

Intersect Systems, Inc.

MCC Innovations

Neubus, Inc.

OpenText

Oveana, LLC

PacoTech, Inc.

Precision Micrographics & Imaging, Inc.

Precision Products, Inc.

Texas State Library and Archives Commission
Records Center Services

Texas.gov

Toshiba Business Solutions