e-Records Conference 2015

Tuesday, November 17, 2015

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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<tr>
<td>8:00 AM</td>
<td><strong>REGISTRATION AND NETWORKING</strong></td>
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<tr>
<td>8:30 AM</td>
<td><strong>WELCOMING REMARKS</strong> – Mark Smith, Texas State Library and Archives Commission and Janet Gilmore, Texas Department of Information Resources</td>
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<tr>
<td>8:50 AM</td>
<td><strong>MANAGING PUBLIC RECORDS: DULL, DIFFICULT, AND ESSENTIAL</strong> – Paul W. Taylor, Governing Magazine and e.Republic (Keynote)</td>
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<tr>
<td>10:00 AM</td>
<td><strong>AM BREAK (REFRESHMENTS, EXHIBITS OPEN)</strong></td>
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<td>10:20 AM</td>
<td><strong>INTRODUCING THE TEXAS DIGITAL ARCHIVE</strong> – Jelain Chubb and Mark Myers, Texas State Library and Archives Commission</td>
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<tr>
<td>11:30 AM</td>
<td><strong>LUNCH (LUNCH PROVIDED, NETWORKING, EXHIBITS OPEN)</strong></td>
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<tr>
<td>12:30 PM</td>
<td><strong>eEARDMS PROGRAM OVERVIEW: HOW THE U.S. DEPARTMENT OF THE INTERIOR (DOI) MANAGES 1M-70M EMAILS PER MONTH IN THE ENTERPRISE CONTENT MANAGEMENT SYSTEM</strong> – Carol Brock, CRM, IQBG, Inc.</td>
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<td><strong>ECM LESSONS LEARNED WITH DENTON I.S.D: STREAMLINING AND IMPROVING BUSINESS WORKFLOW AND RECORDS MANAGEMENT PRACTICES</strong> – Jenequa Eldridge, Denton Independent School District and Ashley Jackson, DocuNav Solutions</td>
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<tr>
<td>1:30 PM</td>
<td><strong>PM BREAK (REFRESHMENTS, EXHIBITS OPEN)</strong></td>
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<tr>
<td>1:45 PM</td>
<td><strong>ROCK, BAMBOO, OR SPONGE: TECHNIQUES FOR MANAGING CHANGE IN THE KNOWLEDGE WORKER ECOSYSTEM</strong> – Anne Tulek, Access Sciences Corporation</td>
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<td><strong>IMPLEMENTING AN ELECTRONIC DOCUMENT MANAGEMENT SYSTEM - A RECORDS AND INFORMATION MANAGEMENT PROFESSIONAL’S GUIDE</strong> – Eric Stene, CRM and Alexander Webb, CRM, City of Austin</td>
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<tr>
<td>2:50 PM</td>
<td><strong>WHAT EVERY RECORDS MANAGER MUST KNOW ABOUT SOCIAL MEDIA</strong> – Anil Chawla, ArchiveSocial and Dustin Haisler, e.Republic</td>
</tr>
<tr>
<td>4:05 PM to 4:30 PM</td>
<td><strong>CONFERENCE WRAP-UP</strong></td>
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**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 2015: V3: Volume, Velocity, Variety. The goal of this one-day conference is to gather state agency staff and local government officials who are interested in learning more about information technology and improving electronic records management in Texas government.

Over 150 state agencies, universities, local governments, and exhibitors are with us today. Of the over 400 conference attendees, many have visited before and some are first-timers. We encourage you to network and discuss the aspects of electronic records management with other attendees.

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.

The exhibit area will be available to conference participants during morning registration, the mid-morning break, lunch, and the afternoon break. Please visit the exhibitors to learn more about organizations that are at the cutting edge of information technology.

We are fortunate to have a variety of both public and private entity speakers share their expertise. The morning keynote, Paul Taylor, Editor at Large and Chief Content Officer for Governing Magazine and e.Republic, will stress the importance of government records management. Then, you will have the opportunity to hear about digital preservation technology in the Texas Digital Archive.

In the afternoon, you can select from two concurrent sessions, with subjects that range from e-mail management, a school district's lessons learned, managing change for knowledge workers, and a city's guide to implementing an electronic document management system. After the concurrent sessions, return to the main auditorium to hear about managing social media. Finally, we will send you off with a quick conference wrap-up.

We welcome you and hope that you enjoy the conference today.
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 led the efforts in facilitating 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 institutions of higher education.

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)

Director and Librarian Mark Smith of the Texas State Library and Archives Commission (TSLAC) is 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 SLRM 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 and local governments with cost-effective storage of non-current, infrequently used state and local 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 the high-density, low-cost maintenance of records. Electronic and microfilm records are stored in vaults specifically designed to protect these microforms and computer storage media. 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](http://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](http://www.rmicc.state.tx.us));
- DIR: Document Library, on IT Leadership tab ([www.dir.texas.gov](http://www.dir.texas.gov)); and
- TSLAC: select Records Management from the QuickLink, look for bullet under “Records Management Assistance” for State Agencies or Local Governments ([www.tsl.texas.gov](http://www.tsl.texas.gov))
Contact Information
Texas State Library and Archives Commission (TSLAC)

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https://www.tsl.texas.gov/slrm

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

#TXeRecords @TSLAC @TexasDIR
CAROL BROCK, CRM, VP-INFORMATION GOVERNANCE, IQBG, INC.

Carol Brock is a Certified Records Manager and the Records Management Expert for IQ Business Group. She is currently working with DOI to implement enterprise-wide content management with auto-categorization. She is 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 20+ years of Federal RM experience as a contractor, consultant, and Federal employee. Carol is also a Research Fellow at the University of Texas at Austin working on a Ph.D. in Digital Preservation. 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 C-30 Committee, she co-authored the EDM/ERM Integrated Functional Requirements. Carol is a frequent speaker on the topics of electronic records and document management technologies. In June 2010, Carol provided invited expert testimony, "Federal Electronic Records Management: A Status Report" on behalf of ARMA International before the Subcommittee on Information Policy, Census, and National Archives of the House Committee on Oversight and Government Reform.

ANIL CHAWLA, CEO, ARCHIVESOCIAL

Anil Chawla is the Founder & CEO of ArchiveSocial, a Durham, NC-based company that specializes in archiving social media for public records requirements. ArchiveSocial partnered with the State of North Carolina in 2010 to launch the world's first open, interactive archive of social media. Since then, ArchiveSocial has enabled more than 300 prominent government entities such as City of Dallas, City of Austin, and Travis County to ensure long-term transparency for government social media communications. The company was selected for the prestigious Code for America accelerator in 2013, and recognized as a 2014 Cool Vendor in Government by leading analyst firm Gartner. Anil has spent more
than a decade developing innovative software solutions, and is a subject matter expert on social media records management. He has a B.S. in Computer Science from Georgia Tech.

JELAIN CHUBB, STATE ARCHIVIST, TEXAS STATE LIBRARY AND ARCHIVES COMMISSION

Jelain Chubb joined the Texas State Library and Archives Commission in June 2010 as director of the Archives and Information Services Division and Texas state archivist. She oversees the commission's public service areas: the Texas State Archives, the Reference and Information Center, the Texas Family Heritage Research Center, and the Sam Houston Regional Library and Research Center. As state archivist, she is responsible for ensuring that permanent records documenting Texas' history as a colony, province, republic and state are preserved for future generations.

Jelain came to Austin after serving as state archivist of Ohio for the Ohio Historical Society, based in Columbus. She also served as administrative archivist for the Missouri State Archives, and held positions with the Kansas and South Carolina historical societies. A South Carolina native, she earned her bachelor's degree in history and political science from the College of Charleston, and master's degrees in library and information science and applied history with a specialization in archival administration, both from the University of South Carolina at Columbia. She is a Certified Archivist and Certified Records Manager.

JENEQUA ELDREDGE, RECORDS MANAGEMENT SPECIALIST, DENTON INDEPENDENT SCHOOL DISTRICT

Jenequa is the Records Management Specialist for the Denton Independent School District. She was instrumental in the establishment of the electronic records processes in the district's records management program. She is responsible for the management of the district's physical and electronic records. She has a Certified Texas School Business Specialist (CTSBS) endorsement from the Texas Association of School Business Officials (TASBO) and has 8 years of experience working with records in public school setting.

JANET GILMORE, DIRECTOR OF DIGITAL GOVERNMENT / INFORMATION RESOURCES MANAGER

Janet Gilmore serves as Director of Digital Government for the Department of Information Resources. In her role as Director of Digital Government, she provides oversight and management for Texas.gov, official state web site for the state of Texas. She also manages the DIR IT Services and ISO departments and serves as the DIR Information Resources Manager (IRM).

Ms. Gilmore joined the state in 2007 as Database Architect for the Enterprise Architecture division. She managed the re-procurement team for the Texas.gov contract in 2008-2009 and has managed the Texas.gov program and other Digital Government initiatives since that time.

Before working for DIR, Janet worked as an IT professional for over 25 years, including positions as an IT consultant, Project Manager, Database architect, programmer, developer and manager for development teams for the private sector. She began her technology career as a COBOL programmer and Project Manager for the Texas General Land Office.
Janet is a graduate of Texas Christian University and is certified as a PMI Project Management Professional (PMP).

**DUSTIN HAISLER, CHIEF INNOVATION OFFICER, e.REPUBLIC**

Dustin Haisler is the Chief Innovation Officer for e.Republic. As the finance director and later CIO for Manor, TX, a small city outside Austin, Haisler quickly built a track record and reputation as an early innovator in civic tech. A member of Code for America’s original steering committee, Haisler pioneered government use of commercial technologies not before used in the public sector – including Quick-Response (QR) barcodes, crowdsourcing and gamification. In 2010 Haisler launched Manor Labs, a website that let residents submit their own ideas and vote other peoples’ ideas up or down. The most popular suggestions went to city officials for review and possible implementation. Haisler looked to the private sector to help broaden the adoption of these and other civic innovations, joining California-based Spigit as director of government innovation. While at Spigit, a company that makes crowd-sourcing and innovation management software, Hailser helped design and deploy innovation programs for New York City; Bogota, Columbia; and even part of the space program (through NASA’s Langley Research Center).

Notably, Haisler helped design and launch one of the first government open innovation programs in the United States in 2010, which received global recognition as a new model of citizen engagement and innovation. Among other first-in-nation innovations, Haisler architected a Crowdsourcing Master Land Use Plan (Harford County, MD) and patented a crowd-based business process (Crowd-as-a-Service). Named a Government Technology Top 25 Doer, Dreamer and Driver in 2009, his work has been featured in Wired, Fast Company, the Wall Street Journal, Inc. and the Today Show on NBC. An in-demand speaker, he has given two TEDx speeches – one on Disrupting Government (TEDxAustin) and the other on Disrupting Education (TEDxLivermore).

As Chief Innovation Officer, Haisler has a strategic role to help shape the company’s products, services, and future direction. Primarily, he leads e.Republic Labs, a market connector created as an ecosystem to educate, accelerate and ultimately scale technology innovation within the public sector.

**ASHLEY JACKSON, DIRECTOR OF SALES, DOCUNAV SOLUTIONS**

Ashley Jackson is the Director of Sales for DocuNav solutions. She has been responsible for assisting Texas Cities, School Districts, and Government Entities in providing Electronic Records Management software solutions since 2002.

**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 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 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, TX, with his wife and two children.

**ERIC STENE, CRM, CORPORATE RECORDS ANALYST SENIOR, CITY OF AUSTIN, OFFICE OF THE CITY CLERK**

Eric Stene has 17 years records and information management experience and has been a Certified Records Manager since 2010. He is currently a Senior Corporate Records Analyst and the Records Center Supervisor for the City of Austin having worked at the City for more than 13 years. Eric worked in establishing the City records management program that provided a step by step method of implementation for City departments and worked in the implementation of digital records systems in City departments. His specialties include records inventories, creating records retention schedules, consulting services for City departments, coordinating offsite storage and training in all aspects of records and information management. Before the City of Austin, Eric was a Records Analyst with the Utah State Archives and Records Service. Eric gained expertise in managing records from many industries through his work in state and local government including environmental quality, public safety, public utilities, financial, and planning and development. Eric holds a Bachelor’s degree from Weber State University and a Master’s degree from Utah State University.

**PAUL W. TAYLOR, EDITOR AT LARGE AND CHIEF CONTENT OFFICER, GOVERNING MAGAZINE AND e.REPUBLIC**

Paul W. Taylor, Ph.D., is the editor-at-large of Governing magazine. He also serves as the chief content officer of e.Republic, Governing’s parent organization, as well as senior advisor to the Governing Institute. Prior to joining e.Republic, Taylor served as deputy Washington state CIO and chief of staff of the state Information Services Board (ISB). Dr. Taylor came to public service following decades of work in media, Internet start-ups and academia. He is also among a number of affiliated experts with the non-profit, non-partisan Information Technology and Innovation Foundation (ITIF) in Washington, D.C.

**ANNE TULEK, PRESIDENT AND CEO, ACCESS SCIENCES**

Anne Tulek, Access Sciences President and CEO, has 25 years of experience helping organizations achieve their business priorities by improving how they use their information and technology. Her work has benefited clients around the globe and has spanned numerous industries including energy, chemicals, utilities, financial services, health care, manufacturing, retail, and consumer products. Since forming Access Sciences in 2004, Anne has successfully implemented innovative programs that provide the company with sustainable growth, direct relevance to client and market needs, and with quality assurance for clients who require the very best. She is a member of ARMA International, AIIM International, Greater Houston Partnership, Bio Houston, Rice Alliance, Houston Technology Center, serves a board member of the AIIM Southwest graduate with a Bachelor of Music Education from Sam Houston State University in
Huntsville, Texas and received her Master of Business Administration in Marketing and Finance from the University of Texas at Austin.

ALEXANDER WEBB, CRM, CORPORATE RECORDS ANALYST, CITY OF AUSTIN, OFFICE OF THE CITY CLERK

Alexander Webb, CRM is a Corporate Records Analyst for the City of Austin, Texas with over 7 years of experience in the management of digital and physical records. He has consulted on the successful implementation of the City’s enterprise electronic records management system for several City departments. Alex is a Certified Records Manager and holds a Bachelor of Public Administration from Texas State University.
Managing Public Records: Dull, Difficult, And Essential

Paul W. Taylor, Governing Magazine and e.Republic

The central theme of the opening keynote is that unique attribute of public records cannot be overstated: Government is the holder of the singular, authoritative record to which all others refer. As the universe of public records grows in volume, complexity, and variety, policy makers and practitioners are in an unenviable position of managing it all. They are at the nexus of open and big data at a moment when analytics and other technologies hold promise for unlocking both public and private value. The addition of new forms of records - social media, sensors, and both dash and body cams - challenges old practices and assumptions while bringing new urgency to long-standing public policy debates around privacy and security.
The work of government is noble
The people of government are amazing
The systems of government are a mess

Un-… Semi… Early… Automation
How the Environment (and Conversation) is Changing

New Categories
- Open Data
- Big Data

New Platforms + Tools
- Cloud
- Analytics
- Business Intelligence

New Types
- Video
- Social Media

New Opportunities
- Civic Startups

Old + Growing Problem
- Security

The Future is Not What It Used to Be

Government is not Where Citizens Are

Level of Effort

<table>
<thead>
<tr>
<th>Level of Effort</th>
<th>Degree of Impact</th>
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<tbody>
<tr>
<td>Pre-Person</td>
<td>Low</td>
</tr>
<tr>
<td>Automated</td>
<td>Medium</td>
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<tr>
<td>In-House</td>
<td>Medium</td>
</tr>
<tr>
<td>Internal</td>
<td>High</td>
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<tr>
<td>Public</td>
<td>High</td>
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Government is not Where Citizens Are
Records Management as a state CIO Priority

High Volume, High Velocity, High Variety

Open data is part of that variety. It is data that can be freely used.

Big Data and Open Data

Everything will be (is) Predictive
Where You Stand Depends on Where You Sit

Structured and Unstructured Data

Dumping Data
"Record" means a book, letter, document, paper, map, plan, photograph, film, card, tape, recording, electronic data, or other documentary material regardless of physical form or characteristics that is prepared, owned, received...
These Kinds of Records Include Social Mentions

Tweet = 126 characters
Metadata = 2,308 characters
Important details such as user IDs & timestamps
Critical for authenticity in legal situations

How Much Do You Archive?

ArchiveSocial

Frequency: How quickly can you capture new content before it is lost or deleted?
Comprehensiveness: Do you have all of the records you need? Are the records complete? What about metadata?
Authenticity: How is the data stored? Can you prove that it is an accurate record? Will it hold up in court?
Context: How easily can you locate the relevant records? Can you actually make sense of them when needed?

Four Questions for Social Records
NOTES

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ACTION ITEMS (relevant ideas /next steps)
1.

2.

3.

4.

5.
Introducing the Texas Digital Archive

Jelain Chubb, Texas State Library and Archives Commission
Mark Myers, Texas State Library and Archives Commission

In January, 2015, the Texas State Library and Archives Commission (TSLAC) received the official records of Governor Rick Perry’s administration, including approximately 7 TB (terabytes) of data. This transfer represents the first ingest of electronic records by TSLAC and forms the basis of the Texas Digital Archives (TDA), a repository designed for the long-term preservation of and access to the historic digital records of Texas State Government. State Archivist Jelain Chubb and Electronic Records Specialist Mark Myers will discuss the planning and development of the TDA, provide a brief demonstration of its functionality, and share the agency’s plans for accessioning the permanently valuable electronic records of other state agencies in the future.
The Texas Digital Archive

Jelain Chubb
State Archivist

Mark J. Myers
Senior Electronic Records Specialist

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

Background

- TSLAC first requested funding for an electronic records system for archival records in early 2000s
- Funding requests were presented throughout the decade and in 2011 and 2013; no funding awarded
- Agencies seeking to transfer electronic archival records to the State Archives were denied per statute and TSLAC administrative rules
Background, cont.

**Texas Government Code 441.186 (e)**

“If the commission cannot accept immediate custody of an archival state record, the record shall remain in the custody of the state agency and shall be preserved in accordance with this subchapter, rules adopted under this subchapter, and other terms which the director and librarian and agency head may agree.”

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**Texas Administrative Code, 13, Part 1, Chapter 6, Subchapter C, Rule 6.95**

**Final Disposition of Electronic State Records**

(b) An electronic state record that is an archival record must be maintained by the agency through hardware and software migrations and upgrades as authentic evidence of the state’s business in accessible and searchable form, except as otherwise determined by the state archivist.

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**Background, cont.**

- TSLAC has its own issues with storing and maintaining born digital files and digital surrogates
Background, cont.

- Digitization of selected documents for preservation and access
- Past 10-12 years
- Maps, plans and drawings and photographs
- 150,000+ images

Background, cont.

- February 11, 2014 – TSLAC informed it will receive the legal and physical custody of Rick Perry’s gubernatorial records
  - Approximately 4000 cubic feet of paper records
  - Estimated 10-12 terabytes of electronic records
  - Term ends January 21, 2015

Background, cont.

- First transfer of electronic records to State Archives
- Opportunity for initial funding (one-time transfer of funds from the Governor’s office)
- Serves as a catalyst for an e-records preservation system for the state
- Less than a year to prepare
- 2016–2017 budget request
  - Continued funding is imperative
  - $706,593 appropriated for the Texas Digital Archive!
Building the Texas Digital Archive

Preservation System Functional Requirements

- Ingest electronic records in any format
- Characterize, validate and track digital formats over time
- Monitor integrity and security of digital files
- Migrate to sustainable preservation formats
- Collect and store all appropriate metadata
- Allow for user access to records
- Follow archival standards for preservation

Standard #1 - OAIS Model

- Reference Model for Open Archival Information Systems (OAIS)
  - Published January 2002
  - Maps workflow of electronic records in a system from producer-archive-end user
OAIS In a nutshell

OAIS Processes

- Ingest
  - SIP: Submission Information Package
    - Object(s) transferred to archive
    - Metadata – Provided by the producer
- Archival Storage
  - AIP: Archival Information Package
    - Object(s) received – Original format and/or Normalized preservation format
    - More Metadata – Technical, Descriptive, Administrative
- Access
  - DIP: Dissemination Information Package
    - Object(s) requested - Access format
    - Metadata – Enough to meet the user’s needs

Standard #2 – Trustworthy Digital Repository

- ISO 16363 – Requirements for Audit and Certification of Trustworthy Digital Repositories
- Focuses on:
  - Administration
  - Policies and Procedures
  - Technology and Infrastructure
What is a Trustworthy Digital Repository?

- A digital repository system that:
  - Understands threats to and risks within its systems
  - Provides 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

Acquiring a solution

- Created an RFP for a preservation system
  - Functional Requirements for system
  - Locally hosted & Cloud-based options
  - Timeline for acquisition and implementation
- Cost estimates for budget request from Legislature
  - An e-records preservation system
  - Storage through the end of the fiscal year and beyond

Thoughts about the “cloud”

- Cost – Cheaper than stand-alone system
  - Cheaper than storage at state data center
- Geographic dispersal of copies
  - Local copies of records at TSLAC
  - Copies in cloud
- No on-site maintenance
  - No software to install
  - Accessed through web interface
RFP proposed timeline

2014
- Research on specifications and other requirements – March-April
- Draft completed – late April
- Edits and reviews – May and June
- Questions for vendors – June/early July
- Release – July 11
- Bid opening – August 4
- RFP review team – Reviews and selection – August-mid September
- Contract awarded – 9/19
- System installed – by 10/15
- Testing of system – 10/15-early December
- Set up and design of system for processing – by end of December

And the winner is (was)!!!

- Texas Digital Archive - Preservica Cloud Edition
  - Built on Amazon Public Cloud services
  - Met all of our functional requirements
  - Fall 2015 moving to Amazon Government Cloud
- TSLAC got it’s 2015 budget request for TDA approved!

What we received from the Governor’s Office

- January 21, 2015 – TSLAC received Texas Governor Rick Perry’s paper and electronic records at end of his term
  - Governor from 2000-2015
  - About 4000 cubic ft. of paper records and approximately 7 TB of electronic records.
What we received

< 7 TB of electronic records

– 6 TB of Media files
  • 3TB of Photos
  • 3TB Video

– <1 TB of “office files”
  • Came out of a classification system developed by the Governor's Office

– Correspondence Database (CTS)

File arrangement of electronic records

Demo of Preservica site

(Live demo of the preservation system. This series of screen-shot slides is for handouts)
Ingest Workflow – how we bring a file into the repository.

- Runs a series of "micro-services" on the files
- Most important for long-term preservation being the "Characterize" step.

- Characterize step identifies the file format
- Plugged into an international registry of file formats

Registry tracks file formats and important information about them such as:
- Rendering programs
- Migration Pathways
Migration example

These are MS Word documents marked as the Original

Migration example

After migration now have a "Presentation" format in PDF.

Preservica allows for several kinds of reports
This lists all of the file formats in the repository.
Public Access
(a work in progress)

(Demo of the public access site.)
PLANS FOR THE FUTURE

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
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

Questions?

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Mark Myers
Senior Electronic Records Specialist
E-mail: mmyers@tsl.texas.gov

Thank You!
NOTES/ACTION ITEMS

Introducing the Texas Digital Archive
Jelain Chubb, Texas State Library and Archives Commission
Mark Myers, Texas State Library and Archives Commission

NOTES
NOTES

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ACTION ITEMS (relevant ideas / next steps)

1.

2.

3.

4.

5.
eERDMS Program Overview: How the U.S. Department of the Interior (DOI) Manages 1m-70m Emails per Month in the Enterprise Content Management System

Carol Brock, CRM, IQBG, Inc.

This e-Government case study focuses on the Department of Interior's Strategy to manage its millions of emails in an enterprise-wide content management system featuring auto-classification for records management and positions the Department for digital preservation. This strategy is cloud-based and integrates 14 Bureaus/Offices, serving 98,000 users. The presentation shares the strategy used to build the program, lessons learned, and next steps to migrating legacy repositories into eERDMS. This effort supports FOIA, Privacy, Congressional Requests, Investigations, and e-discovery in real-time.
IQ Business Group, SB Prime

IQBG is a leading provider of enterprise information management solutions for commercial industries, healthcare and government.

Agenda

- Program Introduction
  - Our Approach
  - Schedules and Auto Classification
  - Integration and Migration
  - Policy and Support
  - Contracting
  - eForms
  - Challenges, Lessons Learned and Thoughts on the Future
Our well-defined vision guides the program

*Provide the Department of the Interior with a single cohesive integrated information management program designed to manage records and documents for its missions and programs to ensure public trust and transparency*

---

**Our agency mission**

The U.S. Department of the Interior protects America’s natural resources and heritage, honors our cultures and tribal communities, and supplies the energy to power our future.

- Cabinet-level agency with 14 Bureaus and Offices that manages:
  - 80,000 employees plus 280,000 volunteers
  - $16.8B operating budget
  - 500 million acres of surface land
  - 479 dams and 348 reservoirs
  - 1.8B underwater acres of out continental shelf lands
  - 35,000 miles of coastline and 55,000 different maps each year
  - 30% of the nation’s energy production
  - >500 million recreational and cultural visitors annually
  - 1 in every 5 acres of land in the U.S.

---

**Our Structured eERDMS Program**

- Alignment under a single CIO
- Defined outcomes
  - Shift focus to cloud first, easy network line of sight
  - Bureaus buy services instead of infrastructure
  - Meet or exceed expectations for reliability, accessibility and availability
- $500 million savings over 10 years
- High priority service areas for immediate modernization
- eERDMS is one of the CIO’s high priority areas and White House tracked
We generate **BIG** data and millions of records

- 1.8B emails received
- 228 data points generated
- 2.5M records a day
- 100K sq. feet of paper
- Exabyte / Zettabyte of electronic content
- 20,000-30,000 Forms
- 800M+ emails a year
- 5,500+ FOIA cases a year
- 200+ ongoing litigation cases
- 100M+ printed pages a year
- 4,100+ mobile devices
- 20,000 fax devices
- Approx. 2,400 locations

---

**Program Capabilities**

- Email Archiving/Journaling
- Content Management and Auto-Classification
- Records Management and Auditing
- Imaging
- Workflow and Case Management
- Collaborative Workspaces
- Advanced Early Case Assessment and Review (litigation support)

---

**eERDMS contract has optional services**

<table>
<thead>
<tr>
<th>Service</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Software</td>
<td>Provides social media mobile device capture licensing</td>
</tr>
<tr>
<td>Additional Storage</td>
<td>Provides hot and warm storage within eERDMS cloud</td>
</tr>
<tr>
<td>Shredding</td>
<td>Ensures the proper disposal and secure shredding of sensitive paper-based documents</td>
</tr>
<tr>
<td>Off-Site Storage - Physical Content</td>
<td>Provides retrieval, transportation and processing of digital content</td>
</tr>
<tr>
<td>Off-Site Storage - Digital Content</td>
<td>Provides secure, protected transport and off-site handling of backup logs</td>
</tr>
<tr>
<td>Scanning and Digitization</td>
<td>Converts content into digital images</td>
</tr>
<tr>
<td>Labor Support for Records Mgmt.</td>
<td>Provides support for records mgmt. discovery, legal, digitization, and other associated categories</td>
</tr>
<tr>
<td>Other Document Mgmt. Services</td>
<td>Provides migration and new document mgmt. system services</td>
</tr>
</tbody>
</table>
Agenda

- Program Introduction
  - Our Approach
    - Schedules and Auto Classification
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    - eForms
    - Challenges, Lessons Learned and Thoughts on the Future

Our approach to realize our vision

- Identify existing records schedules
- Align schedules and LOBs to mission
- Crosswalk records schedules to LOBs
- Fully integrate with all record media
- Prepare a DSG that aligns with LOBs
- Simplify records schedules

Our Cloud Environment

[Diagram showing enterprise systems and processes]

- Capture
- Store / Manage / Preserve
- Deliver

[Descriptions of systems such as Enterprise Content System (ECS), Enterprise Dashboard System (EDS), etc.]

[Diagram showing data flow and integration]
IQBG 21 Century Cloud Facility

Multi-Layered Security

Committing to provide the highest level of security from the property perimeter to the data center floor

Secure Campus
- 500 foot setback to all buildings
- 6' high fencing (Wil-O-Tec capable)
- Hardened, visitor screening facility with ballistic resistant fiberglass panels (Ballistic Level 2)
- Defense anti-terrorist force protection with focus on TIA 942 & FISMA guideline fulfillment
- FISMA Low through TS/SCI SCIF
- Armed security officers
- Metal detection devices
- X-ray scanning instruments
- Delta vehicle barriers

Internal Security
- Central command center
- Security monitoring with video surveillance and security cameras
- Biometric access through Man-Traps for datacenter areas (card/fingerprint & retina)
- Badge-in/badge-out security process, Vehicle Inspections
- 100+ CCTV cameras
- Secure shipping and receiving docks

Power of the Workgroups and Task Forces

- Leadership from the Departmental Records Officer and the Bureau Records Officers
  - Workgroup Charter outlining roles and responsibilities
  - Workgroup Schedule with agreed upon deliverables and deadlines
  - Workgroup accountable to DOI management for products

- Task Forces (subgroups of the Workgroup)
  - Metadata and Model Management
  - Guidance and Training
  - Information Management Directives
Our Lifecycle Management in eERDMS

<table>
<thead>
<tr>
<th>CAPTURE</th>
<th>STORE</th>
<th>MANAGE</th>
<th>PRESERVE</th>
<th>DELIVER</th>
</tr>
</thead>
<tbody>
<tr>
<td>Auto-Classification</td>
<td>Content Lifecycle Management</td>
<td>Records &amp; Document Management</td>
<td>Archiving Solutions</td>
<td>Enterprise Search</td>
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<td>Multi-Functional Device Scanning</td>
<td>Library Services</td>
<td>Workspaces</td>
<td>Integration Center for Data Archiving</td>
<td>Correspondence Tracking</td>
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<td>Document Imaging</td>
<td>Managed File Transfer</td>
<td>Business Process Management</td>
<td>Legal Document Management</td>
<td>Archiving for SAP and SharePoint</td>
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<tr>
<td>Repository</td>
<td>Capture Center</td>
<td>Collaboration/Workflow Including Mobile Services</td>
<td>National Shredding Program</td>
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<tr>
<td>Social Network</td>
<td>Social Media Mobile Device Capture</td>
<td>Enterprise Dashboards</td>
<td>National Digitization Program Auditing</td>
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<tr>
<td>National Digitization Program</td>
<td>Migration Services</td>
<td>Early/Advanced Early Case Assessment &amp; Review</td>
<td>Cybersecurity</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Based text denotes optional products and services

Agenda

- Program Introduction
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Auto-Classification Starts With a Consolidated Schedule

- 200+ schedules / 2330 retention periods
- 1 schedule with <100 retention periods
- Departmental Records Schedule
- Individual Bureau Schedules
Consolidated Schedule: Organized In 4 Big Buckets

**Mission**
- 26 lines of business organized by DOI’s Lines of Business

**Administrative**
**Policy**
- Includes Capstone

**Legal, Regulatory Compliance, & Enforcement**

**Mission**

<table>
<thead>
<tr>
<th>Biological Resources</th>
<th>Land Management Planning</th>
</tr>
</thead>
<tbody>
<tr>
<td>Community &amp; Social Services</td>
<td>Land Use</td>
</tr>
<tr>
<td>Cultural &amp; Heritage</td>
<td>Marine Conservation</td>
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<tr>
<td>Economic Development</td>
<td>Minerals</td>
</tr>
<tr>
<td>Energy</td>
<td>Public Health &amp; Safety</td>
</tr>
<tr>
<td>General Science</td>
<td>Recreation</td>
</tr>
<tr>
<td>Geospatial Services</td>
<td>Transportation</td>
</tr>
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<td>Indian Trust</td>
<td>Tribal Government</td>
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<tr>
<td>International &amp; Insular Affairs</td>
<td>Water</td>
</tr>
<tr>
<td></td>
<td>Wild Fires</td>
</tr>
</tbody>
</table>

**Administrative**

- Administrative Records
- Financial & Acquisition Management
- Human Resources Management
- Information & Technology
Policy

- Controls & Oversight
  - Capstone
    - Identified officials from HQ & Bureaus/Offices
    - Scheduling with the National Archives
- Judicial & Legislative Activities
- Regulatory Development

Legal, Regulatory Compliance, & Enforcement

- Intelligence Operations
- Investigations & Audits
- Law Enforcement
- Litigation & Adjudication
- Regulatory Compliance & Enforcement

Four Classification Strategies

- Intelligent Classification
- Auto-Classification
- Structured Workflow Driven Automation
- Manual
Auto-Classification: How Does Ours Work?

Collecting Exemplars to Build OTAC Model

Physical Object Management

- **eERDMS also manages physical objects:**
  - Paper files, boxes, artifacts
  - File rooms, agency record centers, and tracking of holdings at Federal Records Centers
- **Electronic and physical objects both utilize the same RM Retention Schedules and Record Series Identifiers**
- **Agency file plans can be applied regardless of media**
- **File folder metadata can be inherited by content**
Agenda

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  - eForms
  - Challenges, Lessons Learned and the Future

New/System Migration Planning: Just the Beginning

<table>
<thead>
<tr>
<th>Discovery</th>
<th>Analysis &amp; Estimation</th>
<th>Go / No Go</th>
<th>Design &amp; Implement</th>
<th>Production Rollout</th>
</tr>
</thead>
<tbody>
<tr>
<td>New Project</td>
<td>Integration</td>
<td>Migration</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 Doc/Records Systems</td>
<td>4 Legacy Mail Systems</td>
<td>1 Legacy eMail System</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 Indexing Systems</td>
<td>2 Business Systems</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>1 Business System</td>
<td>2 Doc / Records Systems</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3 Business Systems</td>
<td></td>
<td>5 Digitization Project</td>
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<tr>
<td>3 Business Systems</td>
<td>System</td>
<td>1 Business System</td>
<td></td>
<td></td>
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<tr>
<td>1 Business System</td>
<td>System</td>
<td>1 Business System</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Information Gathering and Migration

Use Cases and Collection Reports are gathered for existing systems and affected processes to ensure design meets business continuity needs.
Migration Requirements Analysis

- Requirements matrices are created and managed throughout implementation:

<table>
<thead>
<tr>
<th>Requirement Matrix</th>
<th>Status</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>M-12-18</td>
<td>In Progress</td>
<td>...</td>
</tr>
<tr>
<td>M-13-13</td>
<td>In Progress</td>
<td>...</td>
</tr>
</tbody>
</table>

eERDMS status

- Digitizing millions of records:
  - Preparing for 100 million paper objects annually
- 800 million+ emails and attachments each year
- 1.8B+ indexed emails
- 30+ terabytes electronic content sent each year
- Preparing for an Exabyte of electronic content

- Addressing all of M-12-18 and M-13-13 requirements

Agenda

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Policy - we re-wrote the book

- Goal is to accomplish all M-12-18 requirements by 2016
- Re-imagined the policy necessary for DOI's integrated enterprise-wide information strategy
- New version addresses electronic records management including email, Web 2.0, and social media
- Coordinated with all 14 Bureaus and staff from FOIA, Congressional, Solicitor, Executive Secretary's Office, and Inspector General Offices

How our support is organized

We manage our support costs using Fixed Price - Software as a Service (SaaS)

Agenda

- Program Introduction
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Contracting

- RFP required a single product solution
- Integrated procurement team
  - IT, RM, SOL, Users, and Contracts
- RFP required a BAFO Live Test Demonstration
  - Go Live 45 days post award
- Single contract award and firm-fixed price
  - Long term vision - 2 year Base, 2 three year options (8)
- Includes services and support
  - Software as a Service (SaaS)
  - Cloud-hosting and management
  - System migrations and integrations
  - Nationwide electronic RM/DM, eFax, eForms
  - Nationwide scanning and shredding services

Agenda

- Program Introduction
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- Integration and Migration
  - Policy and Support
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- eForms
- Challenges, Lessons Learned, and the Future

Yesterday’s Forms Environment

- Decentralized forms management
- Lack of enterprise controls on how many forms are created and released
- Different organizations create forms for same business process
- Lack of tracking of data
- Manual validation of form data
- Lack of support for mobile workforce
- Forms processing delays; including lost forms

...Leading to a high cost of forms management
**What Does eForms Do For Forms Management?**

- Establishes a single web accessible portal for all forms
- Consolidates and automates bureau forms
- Identifies common repeatable workflow processes
- Provides automated processes for Department and public users
- Ability for online, offline and mobile forms processing, HTML5
- Automated records disposition of forms data
- Ability to view business trend analysis and processing metrics

**Agenda**

- Program Introduction
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**No System Is Without Challenges**

- Gaining leadership support and funding
  - DOI has a decentralized management structure
  - Use WIIFM ("What’s in it for me?")
- Adapting to a new Department-wide email (Gmail) 6 months into implementation
- Managing DOI requirements within a COTS environment
- Capturing 2-3 million emails a day plus attachments
- Continuously identifying transitory and ultra-transitory
- Implementing a centralized system in a decentralized organization
- Supporting seasonal growth and national events
- Capture and manage litigation holds
- Develop automated processes using lifecycle business process management for records capture, litigation holds, preservation, and attorney support
Lessons Learned

- Communicate constantly in terms “they” understand
  - To management, users, system admin, vendor partners, etc.
  - Need to present the big picture to all stake-holders and present changes in stages
- Designate a full-time change management / communication champion
- Manage user expectations and scope creep
- Establish a strong implementation team
- Plan for the long term with iterative steps

In Constant Motion...

- Capture and manage litigation holds
- Migrate legacy content management systems
- Convert and automate over 20,000 forms
- Integrate 1,700 mission dashboards
- Provide continuous training and communication and outreach
- Support mobile platforms
- Build and support business Intelligence

Questions?

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eERDMS Program Overview: How the U.S. Department of the Interior (DOI) Manages 1m-70m Emails per Month in the Enterprise Content Management System
Carol Brock, CRM, IQBG, Inc.
NOTES

ACTION ITEMS (relevant ideas /next steps)
1.

2.

3.

4.

5.
Presentation

ECM Lessons Learned with Denton I.S.D: Streamlining and Improving Business Workflow and Records Management Practices

Jenequa Eldridge, Denton Independent School District
Ashley Jackson, DocuNav Solutions

Please join us for an educational tour co-presented by Denton I.S.D. and DocuNav Solutions. This session will feature Denton I.S.D’s process for converting student and accounts payable records into a secure, accessible and digitized repository. Along the way, the audience will gain valuable insight into considerations, best-practice recommendations, and process change management that inherently is addressed when deploying a district-wide electronic records management solution.

Consider this:

• Electronic documents are more secure than paper-based files. Choose a system that allows you to convert paper files into electronic records while storing them in a central repository, offering users instant search & retrieval access.
• Find the right software/vendor that offers a suite of products and options; you don’t know how your business needs may change.
• Place high importance on integrating business process management and records management technologies. Automated workflow dramatically boosts efficiency by eliminating lost documents and streamlining access to supporting documentation.
• Auto-classify records, while simultaneously applying disposition schedules and retention rules, using metadata and other information on incoming records. This will result in a streamlined records management process throughout the document lifecycle.
• Integrate the ECM application with other systems, such as payroll or benefits, which require similar data and will benefit from the supporting documentation kept in the ECM - extending accessibility.

Properly implemented, an ECM software will convert paper documents to electronic records the moment the document enters the business. The software then simplifies and automates the routing of information to meet every need along the way. Ultimately, personnel will be focused on customer service so that they’re streamlining efficiency, boosting information control, and saving money.
ECM Lessons Learned With Denton ISD
Streamlining and Improving Business Workflow & Records Management Practices

Presented By:
Jenequa Eldridge  
Records Management Specialist

Ashley Jackson  
Director of Sales

Before Electronic Records Management...

Major Challenges For Records Managers:
- Physical Record Storage – records warehouse, limited space, etc.
- Searching For Records – digging through filing cabinets, misplaced documents, etc.
- Managing Retention Schedules – ensuring documents are safe,
- Inefficient Processes – approvals, filing, creating new paper folders, etc.

The Push For Electronic Records

What Motivated Denton ISD To Search For An ECM Software?
- Physical Record Storage
  - The available space for physical record storage was quickly diminishing
- Growth
  - At the time, the district was opening 2 new campuses with 2 additional in the next few years
- Automated/Electronic Processing
  - The district was looking to implement systems that would decrease the amount of paper created during daily processing
What To Look For In An ECM Solution

- Records Retention – Does It Manage Retention Schedules?
- Workflow – Can It Automate Processes & Improve Efficiency?
- Searching – How Easy Is It To Find Documents? What Kind Of Searches Are Available?
- Integration – Does It Integrate With My Line-Of-Business Applications?
- Configuration – Can It Be Configured For MY Specific Needs?
- Reputation – Who Else Is Using It? What Do They Think?
- Experience – Does The Vendor Have Experience Working With Other Organizations In My Industry?

Denton ISD Records Management

- Laserfiche Rio Electronic Records Management Software
  - Over 160 Licensed Users Across Several Different Departments
  - DoD 5015.2-Certified Records Management
  - Automated Business Processes
  - Electronic Web-Forms
  - And More!
- Retention Schedules Are Automatically Applied to Records
- Software Utilized to Manage Student Records Throughout Lifecycle – From Creation to Destruction
- Streamlined Indexing, Naming, & Filing Records (Less Manual Processing)
- Workflow Automates A/P & Student Record Processes

Denton ISD

- North Texas School District – About 25 Miles North of Dallas & Fort Worth
- Encompasses 180 Square Miles – Contains All or Parts of 17 Cities, Communities, & Major Developments
- Over 27,000 Students & 3,300 Employees
- Denton ISD Educational Facilities Include:
  - (3) Comprehensive High Schools
  - (7) Middle Schools
  - (22) Elementary Schools
  - (2) Early Childhood Centers
  - (1) Alternative High School
  - (1) Advanced Technology Complex
  - And Other Specialized Schools & Centers
A Look Inside Denton ISD’s ECM Solution

**Index Templates:**
- Each Record Is Assigned An Index Template
- Index Templates Are Configured To Have As Many Different Fields As Needed
- Template Data Is Utilized In:
  - Naming Documents
  - Automated Filing & Re-filing of Records
  - Applying Retention Schedules Automatically
  - Performing Searches
  - And More!

**Folder Structures:**
- “Windows-Like” Folder Trees
- Different Views for Different Users
- Records Management Folders
  - Records Management-Centric View
  - Folders Are Built & Organized According to Records Manager’s Preference
  - Retention Schedules Inherited Down Through Folders
  - Access Rights & Security Permissions To Prevent Unauthorized Access

**Full Text Searching:**
Documents are OCR’d so that users can search for keywords printed on scanned records.
A Look Inside Denton ISD’s ECM Solution

**Template Field Searches:**
Users can utilize indexing information to quickly and efficiently search/retrieve records.

*Users can also perform combination searches across multiple fields and/or document text.

**Search Results:**
Results are displayed in a table, allowing users to sort results by a variety of different factors.

**Context Hits:**
Show where, and how many times, keyword(s) appear within the document text.
A Look Inside Denton ISD’s ECM Solution

Linked Documents: Invoice is appended to back of check, along with any associated PO(s) or other documentation.

Highlighted Text: Keyword(s) highlighted within document text, once search result is opened.

Accounts Payable
Automated Processes & Streamlined Records Management
Accounts Payable Records

<- What End-Users See

VS

What Records Manager Sees ->

Accounts Payable Workflow

1) POs Are Imported Into ECM With Batch Processing Tool
   ✓ Quick/Fields Automatically Indexes, Names, & Files Documents Into Appropriate Fiscal Year Folder

Accounts Payable Workflow

2) Check Is Imported To ECM – Processed With QuickFields & Filed Into Appropriate 'Pending Completion' Folder
Accounts Payable Workflow

3) Check is Worked & All Corresponding Documentation Is Processed – Check Is Then Automatically Filed Into Corresponding Fiscal Year Folder
   ✓ Checks Are Stored In This Folder Until Retention Is Met

4) Checks Have Met Retention – Review Is Completed
   ✓ If Check Was Paid Out Of Bond – Move To Corresponding Bond Series
   ✓ All Other Documentation Is Purged Accordingly

Accounts Payable – Lessons Learned

 ✓ Electronic Processing Is Different From The Physical Process
   ✓ Evaluate document movement to maximize efficiency

 ✓ Electronic Processing Allows For Easier Accessibility
   ✓ Evaluate access and plan accordingly

 ✓ Manual Movement And Entry Increases The Opportunity For Error
   ✓ Take the time to plan the electronic process through to the end and utilize set fields when possible – drop down lists, radio buttons, etc.

Questions About Accounts Payable?
**Student Records**

*Automated Processes & Streamlined Records Management*

---

**GOOD INTENTIONS**

In 2013 the district announced that a new online registration system would be used for the 2013-2014 registration process.

- It would streamline the registration process district wide
- It would allow parents to complete the necessary registration documents anytime, anywhere, at their convenience
- It would minimize the amount of time that parents would have to spend on the campus during registration
- It would be a virtually paperless process that would significantly reduce the amount of paper produced and exchanged during the registration process

---

**INTENDED OUTCOME**

**Traditional Registration:**

- Student’s Birth Certificate
- Student’s Immunization Record
- Parent’s Texas ID
- Proof of Residency
- Enrollment Card
- Health/Emergency Card
- Race/Ethnicity Form
- Occupational Survey
- Student Residency Questionnaire
- Home Language Survey
- Field Trip Permission Form
- Information Release Consent

**Online Registration:**

- Student’s Birth Certificate
- Student’s Immunization Record
- Parent’s Texas ID
- Proof of Residency
- Signed Verification Form
The Very Best of Intentions...

The new online process did not bare out with the district’s records retention policy.

<table>
<thead>
<tr>
<th>Series Number</th>
<th>Document</th>
<th>Retention</th>
</tr>
</thead>
<tbody>
<tr>
<td>SD3200-05</td>
<td>Home Language Survey**</td>
<td>WD + 5 yrs</td>
</tr>
<tr>
<td>SD3250-35</td>
<td>Occupational Survey</td>
<td>5 yrs</td>
</tr>
<tr>
<td>SD3200-10</td>
<td>Race/Ethnicity Questionnaire</td>
<td>3 yrs</td>
</tr>
<tr>
<td>SD3200-04</td>
<td>Student Residency Questionnaire</td>
<td>WD + 5 yrs</td>
</tr>
<tr>
<td>SD3250-44</td>
<td>Student Residency Questionnaire</td>
<td>5 yrs</td>
</tr>
</tbody>
</table>

Unintended Issues

- Campus Registrars and Secretaries would be required to print all necessary documents and file them in the CUM folders
- Campus Registrars and Secretaries do not have access to Laserfiche
- District did not have any plans to purchase additional Laserfiche access

IN THE BACKGROUND

- Registration Staff “print” the necessary documents to a designated location on the shared drive from the registration location
- PDF files are moved to a location where they are converted to TIFF
- TIFF images are imported into ECM Software
Student Records Processing

QuickFields Processes Enrollment Documents:
- Identify forms
- Name records
- Extract data into the template
- File into appropriate folders
- File Exceptions (if no pages are identified)

Naming Convention:
- SR Record Type + Student.EDU - Submission Date
- SR ED 123456 – 14/01-01
- SR HLS 123456 – 14/02-01

Student Withdrawal Process Automation

Workflow to Facilitate Movement of Records:
- Monitors Withdrawal Processing Folder for status change
- Decision = Active – move withdrawal document to active folder
- Decision = Inactive – query LF for records with like Student ID fields and move records to (inactive) fiscal year

Best Practices – Lesson Learned

ECM Solutions are not file cabinets and treating them as such is insulting.
Best Practices – Lesson Learned

<table>
<thead>
<tr>
<th>Employee Search Results</th>
<th>Student Search Results</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name</td>
<td>ID</td>
</tr>
<tr>
<td>John Doe</td>
<td>123456</td>
</tr>
<tr>
<td>Jane Smith</td>
<td>789012</td>
</tr>
</tbody>
</table>

Questions About Student Records?
Questions About Denton ISD’s ECM Solution?
ECM Lessons Learned with Denton I.S.D: Streamlining and Improving Business Workflow and Records Management Practices
Jenequa Eldridge, Denton Independent School District
Ashley Jackson, DocuNav Solutions

NOTES
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ACTION ITEMS (relevant ideas /next steps)
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5.
Rock, Bamboo, or Sponge: Techniques for Managing Change in the Knowledge Worker Ecosystem

Anne Tulek, Access Sciences Corporation

Implementing new processes and information management technologies in the knowledge worker ecosystem requires a deftness and skill commonly at odds with how the change is characterized. In this session, Anne Tulek will provide a framework for assessing your knowledge workers’ readiness to change, and then will explore techniques for implementing and managing change. Through exploring case studies from Access Sciences, participants will be equipped to:

• Identify factors impacting the pace at which change can be implemented
• Describe profiles that help create a shared understanding of change
• List the key components of a change strategy
• Define key success factors for implementing change within the knowledge work ecosystem
Rock, Bamboo, or Sponge: Techniques for Managing Change in the Knowledge Worker Ecosystem
Anne Tulek, Access Sciences Corporation
Rock, Bamboo, or Sponge: Techniques for Managing Change in the Knowledge Worker Ecosystem

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ACTION ITEMS (relevant ideas /next steps)

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5.
Implementing an Electronic Document Management System - A Records and Information Management Professional’s Guide

Eric Stene, CRM, City of Austin
Alexander Webb, CRM, City of Austin

Many organizations are moving to implement electronic document management systems to manage the electronic information that they collect and use in the course of business. As RIM Professionals, we can be a great resource to our organizations in the implementation of these systems. This session will cover how a RIM professional can use the Records Lifecycle to contribute during the planning and implementation of one of these systems. The concepts discussed can also be applied to any project that is adding controls to manage unstructured electronic content.
Implementing an Electronic Document Management System

A Records and Information Management Professional's Guide

Eric Stoner, CRM, ERMP
Alexander Webb, CRM
Records and Information Management Services
City of Austin Office of the City Clerk

“We are going paperless!”

• Organizations are recognizing the need to manage electronic records
• RIM Professionals are a great resource in the implementation of an EDMS
• But what do we do to be a great resource?

Agenda

• RIM Professional’s Role
• Document Conversion
• Process Mapping and Workflow Management
• Technical Support and Staff Training
• Information Quality Assurance and Control
• Develop Performance and Audit Tools
• Case Study: Purchasing Office
• Other Applications
RIM Professional’s Role

• Bridge the gap that occurs between IT, Legal, Management, and end users.
• How does one go about doing that?

Planning

• What do we want to do?
  – Document conversion (scanning paper to electronic)
  – Digital process (eliminating paper from the process)
  – Hybrid (some scanning and some digitally created)
• Is it worth the effort?
  – Retention
  – Accessibility
  – Volume
• How do we get there?
  – Identify Goals
  – Project Timeline
Planning

• Create a RIM Analysis
• Meet with project stakeholders
  – Project description
    – High level
  – Outline select project goals
  – Identify records that will comprise the pilot project
  – Identify required resources (licenses, etc.)
  – Determine team responsibilities and recommendations
  – Manage expectations

Document Conversion

• Can’t we just get a person to start scanning?
  • RIM Professionals can set up the criteria, scope, and method for scanning the paper records.
    – We know what’s a record and what isn’t
    – We know how long the record needs to be kept.
    – We understand how the record is usually researched.
Process Mapping and Workflow Management

- The RIM professional can assist the organization with documenting the business processes that are used with the creation of the record.
  -- You are a fresh perspective
  -- You can view the process as a whole
  -- Records Lifecycle

Process Mapping and Workflow Management

- Creation
  Who will create and upload records into the system?
- Disposition
  Who creates and approves the destruction of records in the system?
- Active
  Who will manage records and approve the records in the system?
- Inactive
  Who will need access to the records? Who will need edit rights?

Managing Records throughout their Lifecycle
Process Mapping and Workflow Management

**Creation**
Who will create and upload records into the system?

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Process Mapping and Workflow Management

**Active**
Who will need to access, edit and approve the records in the system?

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Process Mapping and Workflow Management

**Inactive**
Who still needs access to the records? Who will need edit rights?
Process Mapping and Workflow Management

Disposition
Who reviews and approves the destruction of records in the system?

Technical Support and Staff Training

Technical Support and Staff Training
• Become the “Power User” for the system.
• Take ownership of the policies and procedures used for the system.
• Be the first line of support and rule out process errors for IT.
Technical Support and Staff Training

- Customized training
- A process for training
  - New hires
  - Existing staff
- Procedures for distributing information and updates
  - System changes
  - Process changes

Information Quality Assurance and Control

- Develop Quality Assurance and Quality Control standards
- Ensure the records being entered are consistent with policies and procedures.
  - Develop metrics to measure compliance.
  - Identify staff for reviewing and approving
Develop Performance and Audit Tools

• Develop ways to track the information coming into the system.
• This tracking information can provide metrics.
  – Documents created during a given time period
  – Time it takes to finalize a document
  – Types of documents being created

Develop Performance and Audit Tools

• Provide regular system reports which:
  – Measure the success of the implementation.
  – Justifies the system to your organization.
• This is critical during the first few years after implementation.
Case Study: City of Austin Purchasing Office

- Initial interest by the Purchasing Office in 2007
- OCC conducted RIM Analysis of project:
  - Recommendations/Requirements to implement project
    - RIM Program Deliverables
    - Personnel
    - Resources
  - Determination
    - Use City's Enterprise Document and Imaging Management System (EDIMS)
    - Foundation for City-wide system

Case Study: City of Austin Purchasing Office

- So what is EDIMS?
  - Currently using OpenText eDOCS
  - City's repository for public records
  - System provides the ability for users to:
    - Document security through access controls
    - Tag documents with metadata
    - Search by content or metadata
    - Enforce records retention
Case Study: City of Austin Purchasing Office

- New RIM Analysis conducted in 2010
  - RIM Program Deliverables
  - Naming Convention Changes
  - Document Conversion
  - Confidential Information
  - Stakeholder Responsibilities

Case Study: City of Austin Purchasing Office

- Phase 1: Vendor W9 Files
  - Less Complex
  - Fewer Metadata Fields
  - Simple Folder Structure

- Phase 2: Purchasing Contracts
  - Planning/Prepping
    - Determined that Fiscal Year 2009 to 2011 would be scanned.
    - Determined which portions of the contract file needed to be scanned and what could be left out.
    - Established Scanning guidelines for Temporary staff.
    - Established Quality Check guidelines for Temporary staff.
Case Study: City of Austin Purchasing Office

• Phase 2: Purchasing Contracts
  – Planning
    o Met with employees to map out document workflow.
    o Matched Metadata fields to existing fields in financial system fields.
    o Existing paper documents would be scanned.
    o New files would be a merged document of scanned and electronic.

• Phase 2: Purchasing Contracts
  – Scanned Documents were then named by single unique identifier.
    o e.g. "MA 5500/NS100000123"
    – This identifier was used to pull the remaining metadata from the City’s financial system.
Case Study: City of Austin Purchasing Office

• Phase 2: Purchasing Contracts
  – Performed QA/QC on every document.
  – Used process for new documents.

Case Study: City of Austin Purchasing Office

• Phase 2: Purchasing Contracts
  – Full time staff performed the review
  – Used Summary page

Case Study: City of Austin Purchasing Office

Intranet Document Workflow

- Document uploaded to Private Library
- Staff Review record for completeness and accuracy
- System Administrator publishes
- Intranet Library

Nov 15
30
Office of the City Clerk
Case Study: City of Austin Purchasing Office

Intranet Search Portal

Intranet Search Portal

Intranet Search Portal

Intranet Search Portal

Search Results:

<table>
<thead>
<tr>
<th>Name</th>
<th>Vendor</th>
<th>Status</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Test Case 1</td>
<td>Test</td>
<td>Active</td>
<td>Test Data</td>
</tr>
<tr>
<td>Test Case 2</td>
<td>Test</td>
<td>Active</td>
<td>Test Data</td>
</tr>
</tbody>
</table>

Office of the City Clerk

Office of the City Clerk

Office of the City Clerk

Office of the City Clerk

e-Records 2015: Page 100 of 121
Case Study: City of Austin Purchasing Office

Intranet Search Portal

Case Study: City of Austin Purchasing Office

- Phase 3: Public Facing Purchasing Contracts
  - Planning/Prepping
    - Public facing documents
      - Simplified version
      - Long-term contracts
    - Started with the current fiscal year (2011)
    - Determined guidelines for document content

Case Study: City of Austin Purchasing Office

Internet Document Workflow

- "Public Version" uploaded to Private Library
- System Administrator publishes
- Staff review record to ensure sensitive information has been removed
- Internet Library

Nov 15
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Case Study: City of Austin Purchasing Office

- Austin Finance Online
  - https://www.austintexas.gov/financeonline/finance/index.cfm
Case Study: City of Austin Purchasing Office
Case Study: City of Austin Purchasing Office

Document Library Workflow

- Intranet Library
- Access Portals
- Internal Library
- Public Library

Case Study: City of Austin Purchasing Office

- Final Phase: Review and Audit of the project
  - Initial process lacked accountability.
  - Determined additional licenses were needed
    - Better tracking of file from creation to disposition.
    - Procured additional licenses
    - Trained staff on the new upload procedures.
  - Developed Dashboard tool
    - Creates Reports for Management
    - Compares records in financial system with records in EDIMS

Case Study: City of Austin Purchasing Office

Dashboard Audit Tool

- EDIMS and EDIMS Tracking
  - Mega Management Solutions 5-9-15 1:01:20
  - EDIMS and EDIMS compare with one another

Office of the City Clerk

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Office of the City Clerk

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Office of the City Clerk

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Office of the City Clerk
Case Study: City of Austin Purchasing Office

Dashboard Audit Tool

Case Study: City of Austin Purchasing Office

• Disposition of Source Files
  – Records Management Officer (City Clerk) approved procedures.
  – Performed a final check of the source documents.

Case Study: City of Austin Purchasing Office

Before
Case Study: City of Austin Purchasing Office

After

Case Study: City of Austin Purchasing Office

File Area Today

Other Applications

• What if an EDMS is not in your Budget?
  – The Lifecycle questions can work for any electronic record.
  – You can use the questions to set policy for records that you
    store in a database, shared drive, SharePoint, and any system
    that contains information managed by your organization.
  – However you may be limited in what you can accomplish
    with your existing systems.
## Contact Us

<table>
<thead>
<tr>
<th>Name</th>
<th>Email</th>
<th>Phone</th>
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</thead>
<tbody>
<tr>
<td>Eric Stone</td>
<td><a href="mailto:eric.stone@austintexas.gov">eric.stone@austintexas.gov</a></td>
<td>512-974-1388</td>
</tr>
<tr>
<td>Alexander Webb</td>
<td><a href="mailto:alexander.webb@austintexas.gov">alexander.webb@austintexas.gov</a></td>
<td>512-974-1387</td>
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</table>

## Questions
NOTES/ACTION ITEMS

Implementing an Electronic Document Management System - A Records and Information Management Professional’s Guide
Eric Stene, CRM, City of Austin
Alexander Webb, CRM, City of Austin

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ACTION ITEMS (relevant ideas /next steps)

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Social media and online collaboration platforms create undeniable opportunities for public agencies to better communicate with and serve citizens. However, with this new type of opportunity comes a new type of records management challenge. Social media is realtime, interactive, and outside of the IT firewall. Yet it is increasingly becoming the primary channel for the types of public information and citizen feedback that create long-term records. Join us as we review real life case studies of agencies who have received discovery requests and public information requests for social media. Learn how records management professionals can collaborate with IT departments and government communicators to ensure that your agency can succeed with a records management strategy that also works for social media.
What Records Managers Must Know About Social Media

Presented by
Anil Chawla
Founder & CEO

My goals

1. Level set on social media as a record
2. Share real-life legal examples
3. Answer questions AND learn from you

The Public Records Issue
Texas Public Information Act
Section 552.002(c)
Updated by Senate Bill 1368, effective September 1st, 2013

The general forms in which the media containing public information exist include a book, paper, letter, document, e-mail, Internet posting, text message, instant message, other electronic communication, printout, photograph, film, microfiche, microfilm, photostat, sound recording, map, and drawing and a voice, data, or video representation held in computer memory.

Is ALL social media a record?

Of course not! But....

You must capture in order to curate
Existing retention schedules apply
Social media creates unique records -- more often that we are willing to admit

Real Social Media Records
Examples of records:
Public safety & emergency response

Examples of records:
Customer service & citizen feedback

A real public records request
Requests agencies already receive…

• “Any and all documents that relate to...”
• “All reports of the incident...”
• “All notifications of the street closure...”
• “All emails and communications between...”

Legal Case Studies

Why metadata matters

O’Neill v. City of Shoreline
Case No. 82397-9

• Lawsuit requesting metadata about who sent an email
• Settled in 2013 after 7 years
• City paid $538,555

As a result of this case, the Washington Supreme Court ruled that metadata is subject to disclosure under the Public Records Act.
Example: Metadata in a tweet

126 characters = 2,308 characters of metadata
Important details such as user IDs & timestamps
Critical for authenticity in legal situations

Case Studies: From our customers

South Florida
Lawsuit filed when the Police Department shared a “scam alert” regarding a local company

Case Studies: From our customers

California
Police department received public records request for all social media postings related to the city’s “gun buyback” program.
Download the Government Technology case study
Case Studies: From our customers

**Spokane, WA**
Lawsuit filed after the City helped promote a local event on Facebook

Download the Government Technology case study

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Case Studies: From our customers

**San Marcos, Texas**
Social media records provided to FBI to assist in website hack investigation.

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Archiving Social Media
The 4 most important factors

**Frequency:** How quickly can you capture new content before it is lost or deleted?

**Comprehensiveness:** Do you have all of the records you need? Are the records complete? What about metadata?

**Authenticity:** How is the data stored? Can you prove that it is an accurate record? Will it hold up in court?

**Context:** How easily can you locate the relevant records? Can you actually make sense of them when needed?

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It’s not just your problem

**Social Media RM must be a collaboration between you and Communications.**

- They have access to the data, not IT
- PIOs can help drive budget for an archive
- Communicators understand that SM creates records, even if attorneys and IT don’t

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Open Government in Practice

First city in the world to launch an Open Archive of Social Media for citizens to access public records of social media.

**Austin’s Social Media Archive**

- Travis County’s Archive
- North Carolina’s Archive
- World’s first Open Archive

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Social Media Archiving for Government

Sample your own archive (free) at http://archivesocial.com
What Every Records Manager Must Know About Social Media
Anil Chawla, ArchiveSocial
Dustin Haisler, e.Republic

NOTES
ACTION ITEMS (relevant ideas /next steps)

1.

2.

3.

4.

5.
EXHIBITORS

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

Access Sciences
Ambonare, Inc.
Austin ARMA
AT&T
AvePoint Public Sector
Centre Technologies
DataPoint Solutions, Inc.
DataXport.Net, LLC
Document Logistix
DocuNav Solutions
Doublehorn
Image API
INI, Inc.
Intersect Systems, Inc.
Kofax
MCCi
Neubus, Inc.
OpenText
PacoTech, Inc.
Precision Micrographics & Imaging, Inc.
Precision Products, Inc.
Sense Corp
TSLAC Records Center Services
Texas.gov