Teacher Retirement System of Texas: The Information Governance Journey

TSLAC e-Records Conference 2017

November 17, 2017

Jimmie E. Savage, CRM, Manager, Records Management, Teacher Retirement System of Texas

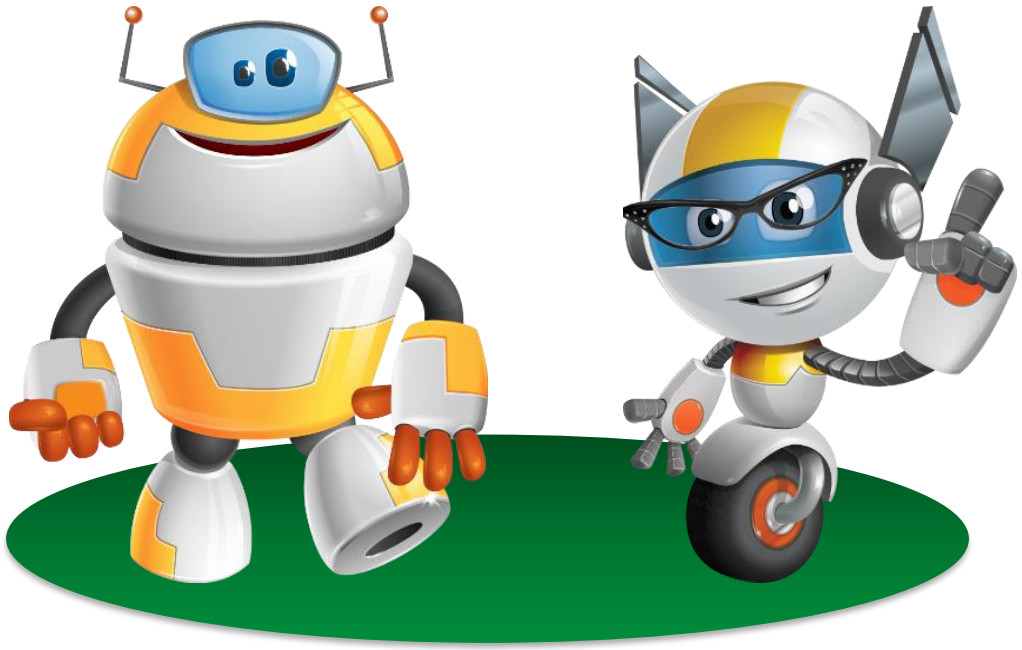
Kristin Homer, Senior Manager, Access Sciences

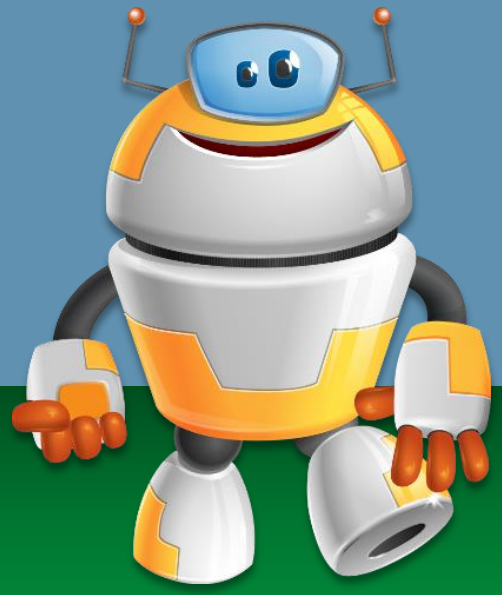
Todd Brown, Managing Director, Access Sciences

TRS

The Journey

- Starting Point and Destination
  - TRS Records Management Department
  - The Problem as Initially Defined
- The Journey
  - Current State Assessment
  - Big Bucket Records Retention Schedule
  - Key Findings and Recommendations
  - E-Records Project Goals
  - Standard Repositories
  - Sustainability
- Challenges and Lessons Learned To Date





Poll Setup

https://i.engage.ms/tbrown/eRecords2017

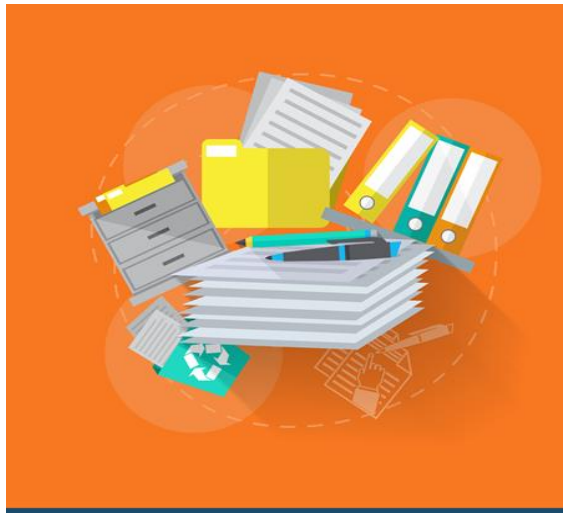
TRS Records Management Department

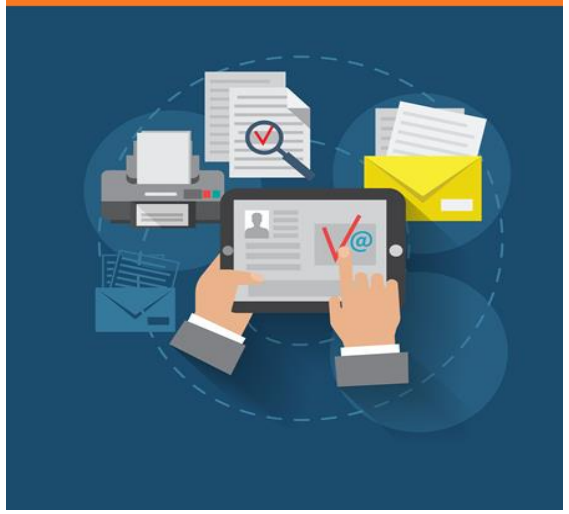
The TRS Records Management Team

- Experienced Records Management team
- Defined process for records disposition (physical and electronic)
- Defined process for handling exiting employee's electronic information
- Strong physical records management

The Initial Challenge

- TRS has a well-established physical records program; existing controls did not function as well for managing electronic records (e-records).
  - Decentralized storage of e-records in Outlook and network drives maintained by individual end users
  - Limited number of centralized repositories at the department level and no standardization regarding how those repositories are organized





TRS 2015 Internal Audit

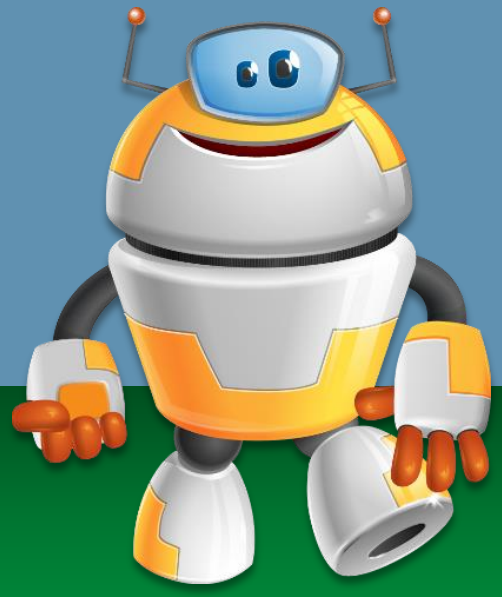
Results

- Records are not always retained or purged according to RRS
- Users are unsure of their roles and responsibilities regarding records management, including email records

Actions

- Using a formal assessment process, develop a strategic agency solution for records management
  - Centralize RIM processes
  - Provide staff training at all levels
  - Assess program on ongoing basis

TRS

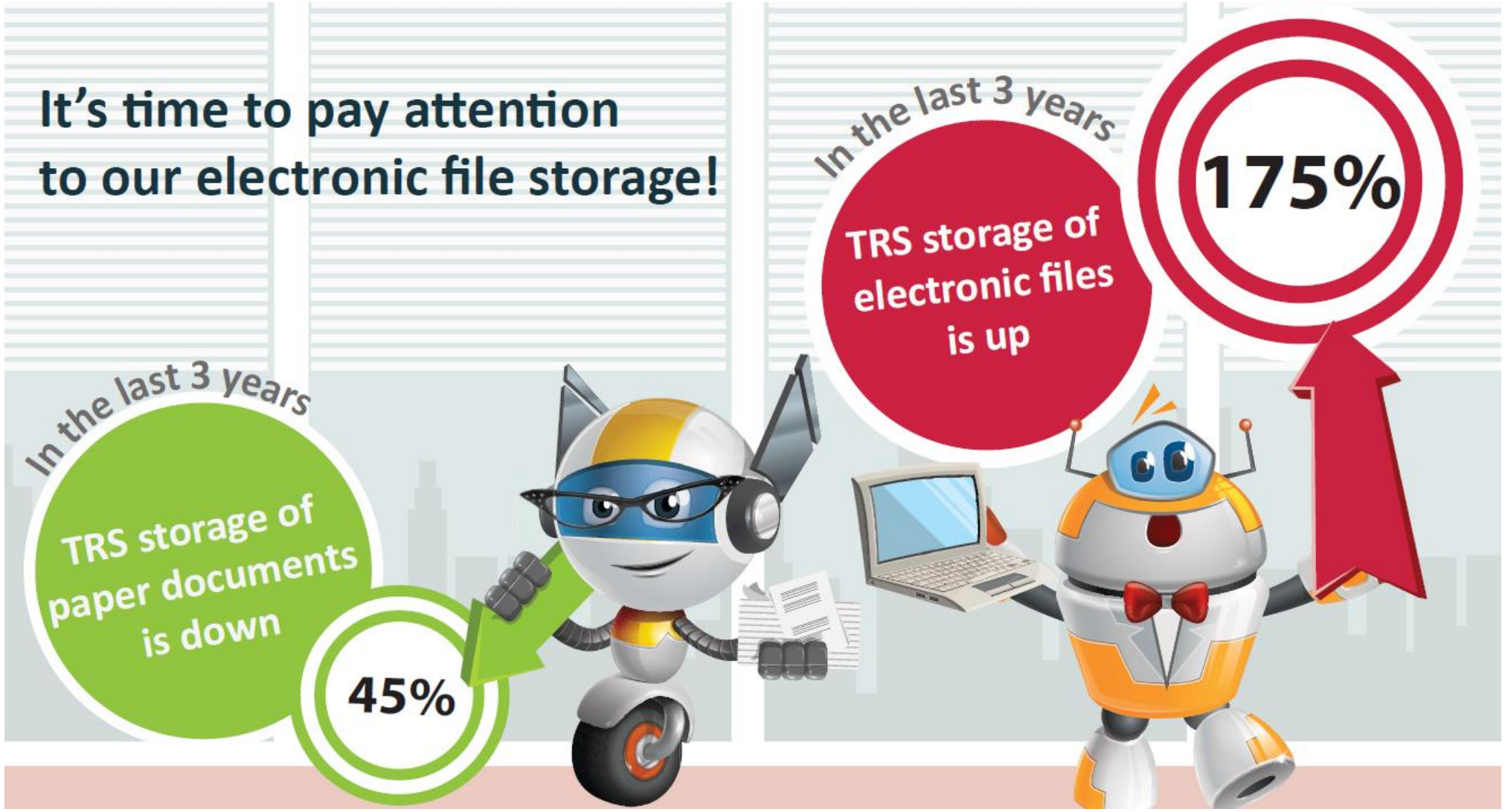


Poll Questions 1 & 2

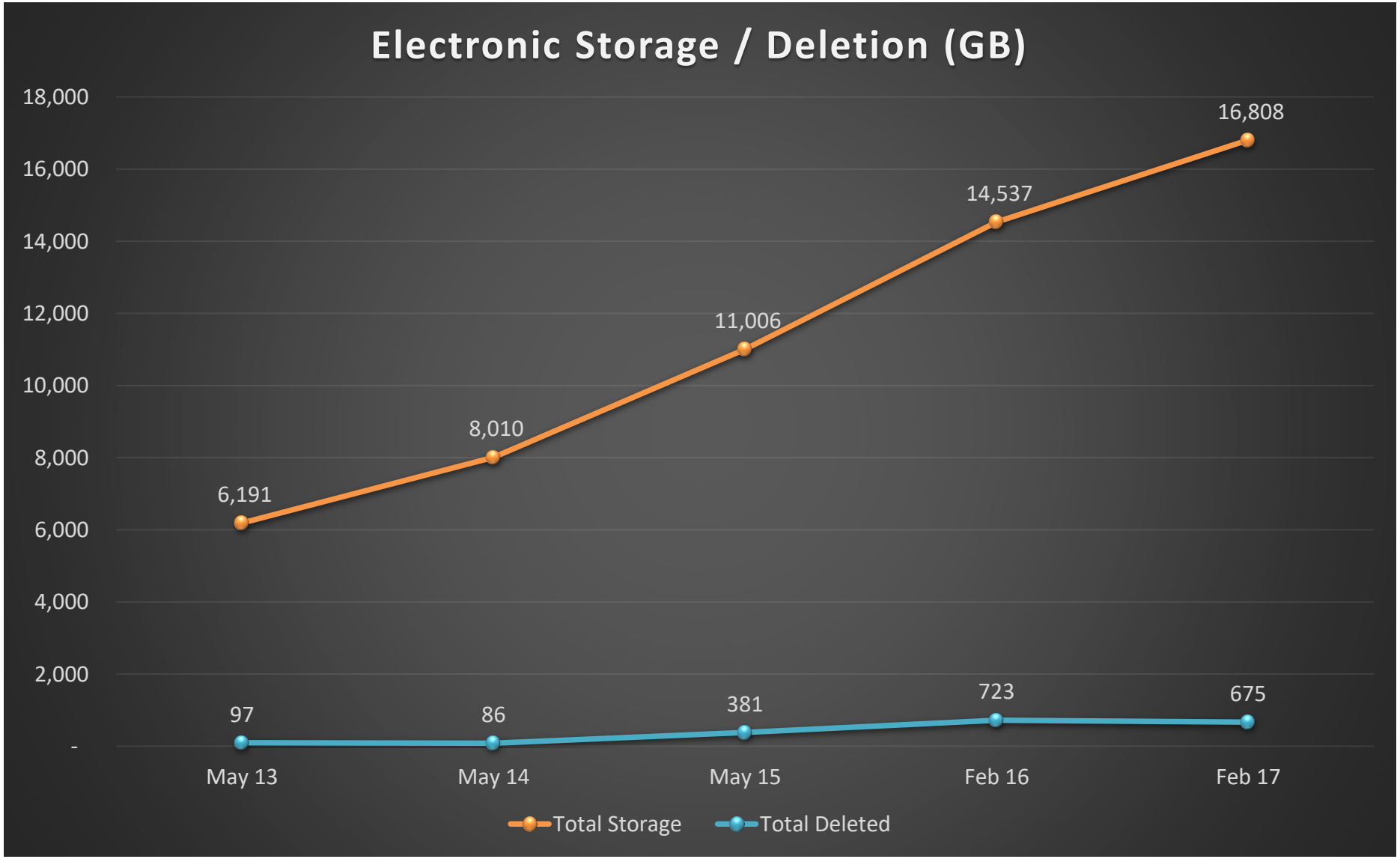
https://i.engage.ms/tbrown/eRecords2017

TRS

Keeping up with Electronic Records



Keeping up with Electronic Records



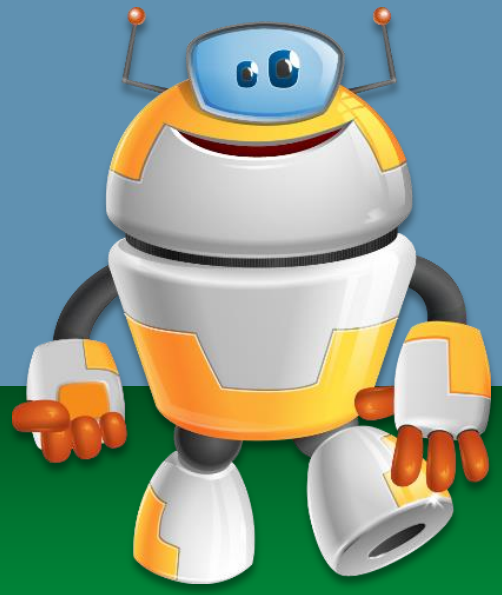
Project Goals

- Consolidated storage of records and information in centralized repositories
- Standard, centralized information management processes
- Maximized use of existing technology tools
- Improved findability and access to information
- Improved collaboration and communication
- Automated management of electronic records and information

Addressing the Electronic Records Challenge

TRS Engaged Access Sciences

- Current state assessment in all departments
  - Assessment Workshops
  - Content Catalogs
  - Key Findings and Recommendations
  - System Inventory
- Development of Big Bucket Records Retention Schedule
- Creation of standard repositories for electronic records



Poll Question 3

https://i.engage.ms/tbrown/eRecords2017

TRS

E-Records Project Partners

- TRS Executive Project Sponsor – CFO
- TRS Records Management Team
- TRS Information Technology
- The Project Management Office
- Organizational Change Management (HR)
- TRS Department Representatives (Cross-Functional Team)
- Access Sciences Corporation

TRS Records Management Department

- **Jimmie E Savage**, Manager, Records Management Department, Records Management Officer, Project Sponsor/Manager; Certified Records Manager (CRM) 1983, MLIS, and BA, UT Austin; 42 years' records management experience in Texas State Agencies
- **Mark Browning**, Senior Records Analyst; MLIS & BA, UT Austin; 35 years' records management experience in Texas state and local government agencies
- **Robert O'Connor**, Senior Records Analyst. Certified Records Manager (CRM) 2014, BS, University of Phoenix; 19 years' records management experience in the military and Fortune 500 corporations
- **Jeanel Walker**, Records Analyst. MLIS, UT Austin; BA, Oberlin College; 5 years' records management experience in a Texas local government agency
- **Victoria Keller**, Records Management Intern. BA, Texas State, MPAff Candidate (May 2018), UT Austin; 11 years' records management experience in the military and small business

TRS

E-Records Project Partners

Executive Sponsor
Don Green

PMO
Tom Fry

CFT Division Representatives
Ronnie Bounds
Jay LeBlanc
Jan Engler
Frances Torres
Janie Duarte
Monica Bernal
Barbara Forssell

Tech Partners
Jim Ross (CFT Rep)
Teresa Granger
Simon Key
Lance Rayborn
IT Client Services

Human Resources/Office of Change Management
Stephanie Scott-Rivera (CFT Rep)
Stacy Sakoulas (CFT Rep)
Mikki Teneyuca

TRS

The Access Sciences Team

- **Kristin Homer PhD.,** Project Manager; PhD, MA, and BA, University of Colorado; Certified Information Professional (CIP) 2013; 17 years' experience in taxonomy development, information system and program project management, and records management program assessment
- **Philip Jones**, Analyst & Change Management Specialist; BA, St Edward's University, 2007; Certified Change Management Practitioner (PROSCI); 10 years' experience in communications and change management, business analysis and process design, and records & information management program design and implementation
- **Claudette Lloyd,** CIP. MLIS & BA, UT Austin. Certified Information Professional (CIP), 2011 Information Governance Specialist. 20 years' experience designing and implementing information and data governance programs, processes and tools, including records retention schedules, taxonomies and classification schema

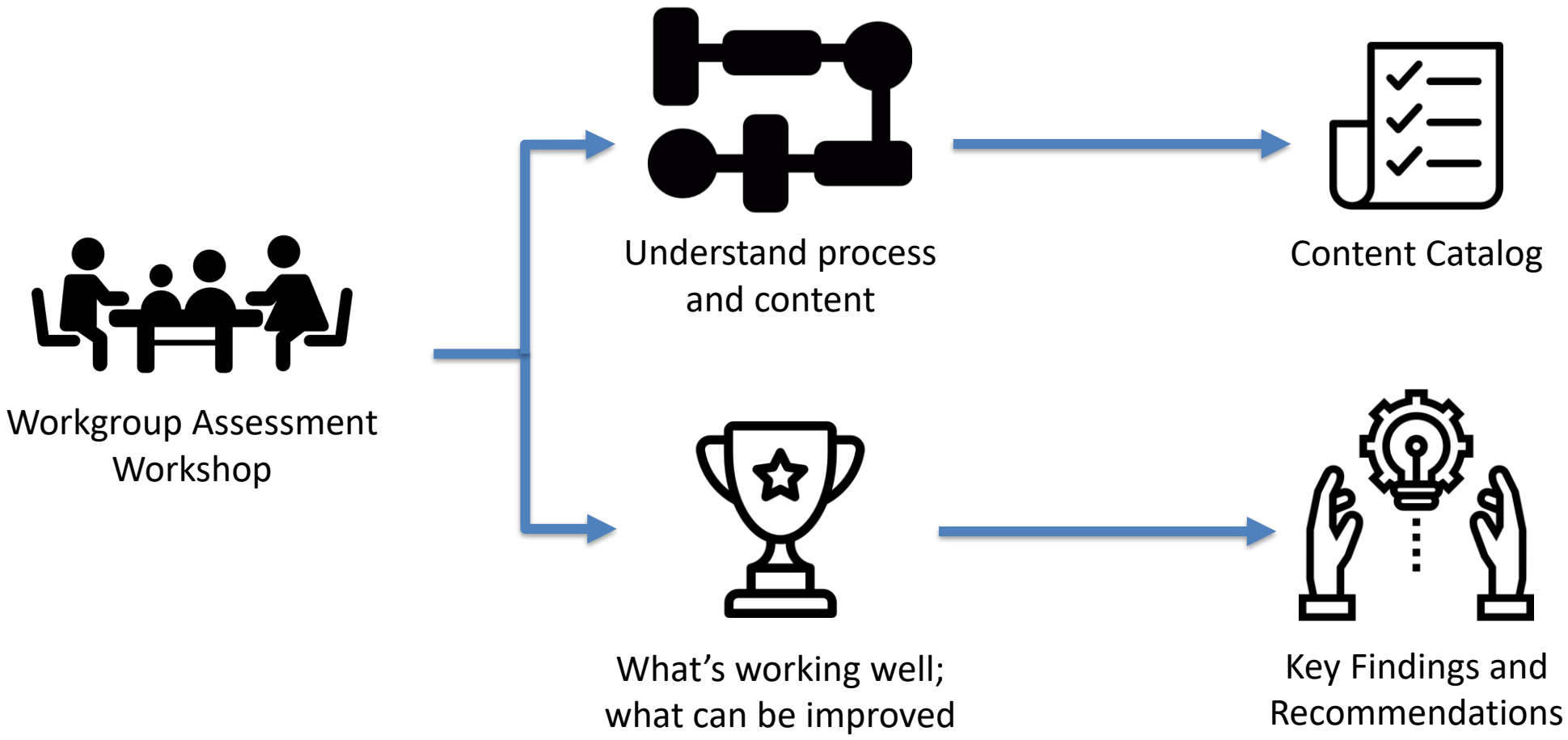
TRS

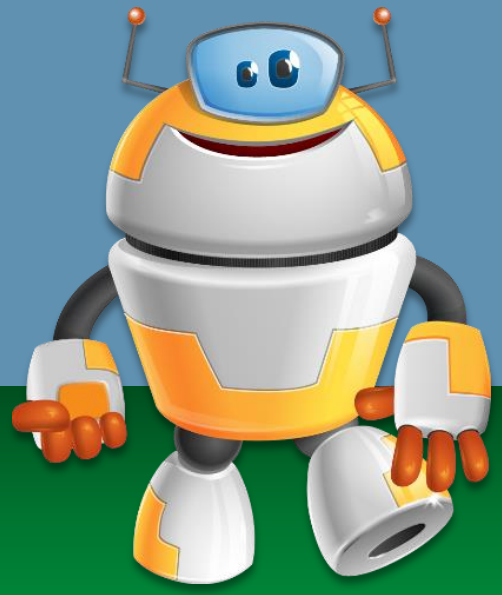
The Access Sciences Team

- **Ashley Schilling**, Technical Specialist; BS, University of Houston, 2011; 6 years' experience in SharePoint design and configuration\customizations, business process analysis and optimization, custom coding, database analysis and implementation
- **Linda Luong**, Analyst, BS, University of Houston, 2011; 5 years' experience in SharePoint support, training, business analysis, and working with users to discover and solve business needs
- **Sapana Raut,** SharePoint Developer; Currently enrolled in graduate Web Development program at UT Austin, BS, Tribhuwan University; 5 years' experience in Windows-based and Web-based Applications in Microsoft Technologies

TRS

Current State Assessment – Departments

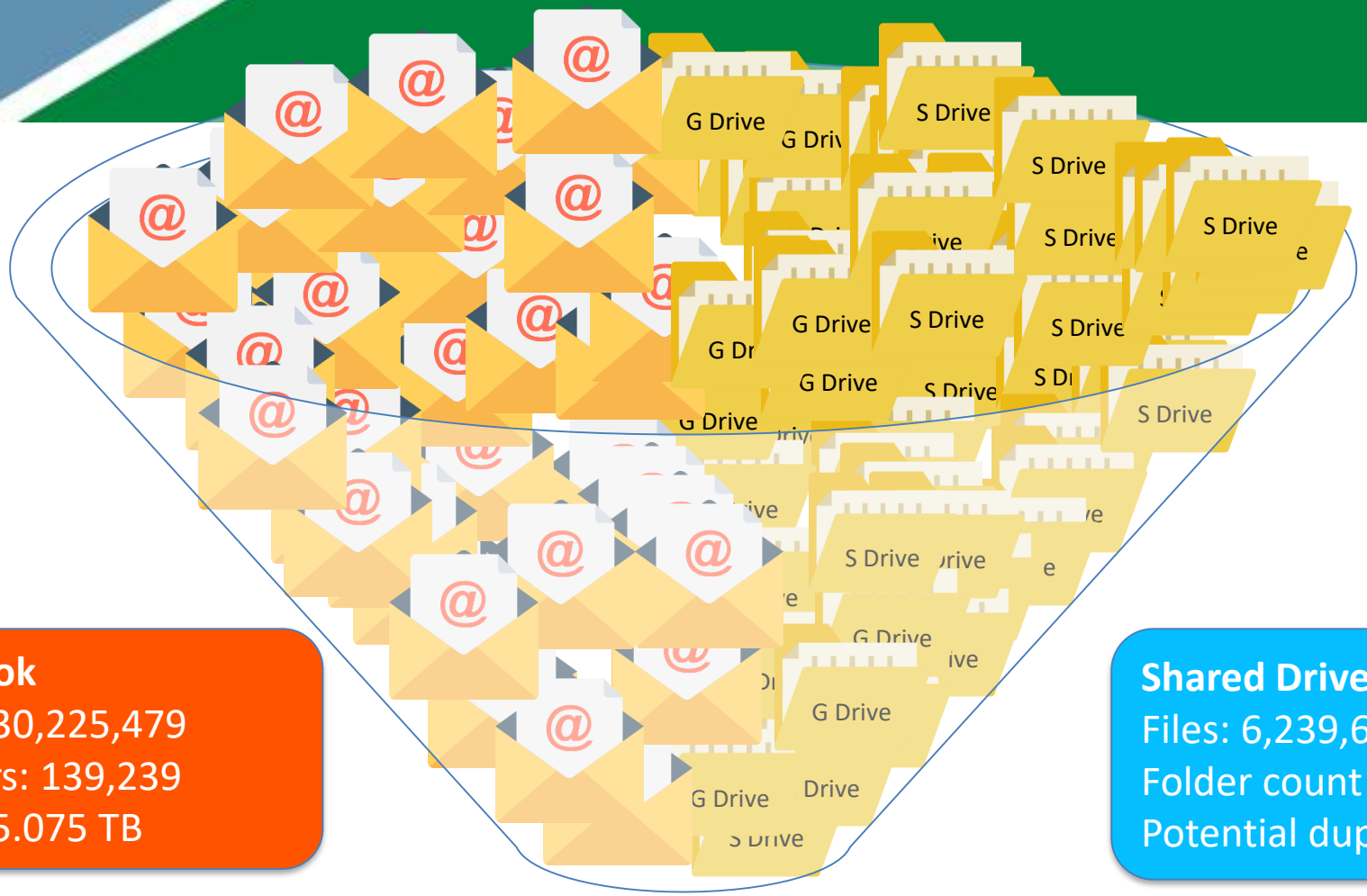




Poll Question 4

https://i.engage.ms/tbrown/eRecords2017

System Inventory



Personal Drives
Files : 3,690,355
Folders: 586,948
Size: 1.551 TB

Outlook
Files: 30,225,479
Folders: 139,239
Size: 5.075 TB

Shared Drive
Files: 6,239,674
Folder count (3/17): 275,016
Potential duplicates (3/17): 1,041,730

Single source of truth?

Key Areas of Concern

Searching / Locating

- Time spent looking for information
- Starting from scratch, recreating information, redoing work because outdated information was used

Shared Repositories

- Collaborating in email reduces transparency and results in duplication of effort, delays, and multiple copies
- Lack of specified repositories and controlled vocabularies for organizing information makes finding information hard, results in duplicate storage, multiple versions, and difficulty identifying single sources of truth

Retention / Disposition

- Difficult to classify documents and apply retention schedule to S and G drives
- Records management, legal holds, and open records request are time-consuming and difficult to manage

Email

- Information is not shared with team
- Difficult to classify and apply retention schedule to messages and folders
- It's hard for new employees to get up to speed quickly and for all employees to build upon prior work when work is stored in mailboxes

TRS

Recommendations

Searching / Locating

Move records and information on network drives to standard libraries in SharePoint with built-in classification and records management

Move business records and information in Outlook and personal drives to libraries in SharePoint (restrict access if necessary)

Use search refiners to improve finding records and information in SharePoint

Retention / Disposition

Shared Repositories

Move process tracking to SharePoint (track with status information, alerts, workflows)

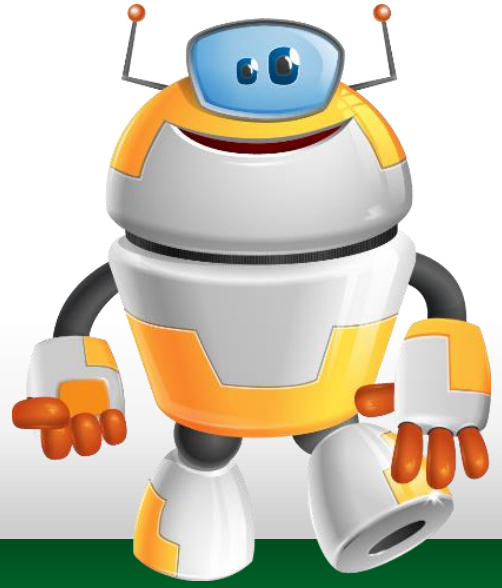
Move document collaboration to SharePoint (manage with status information, versioning, alerts, workflows, etc.)

Email

Maximize the value of information while minimizing associated risks and costs

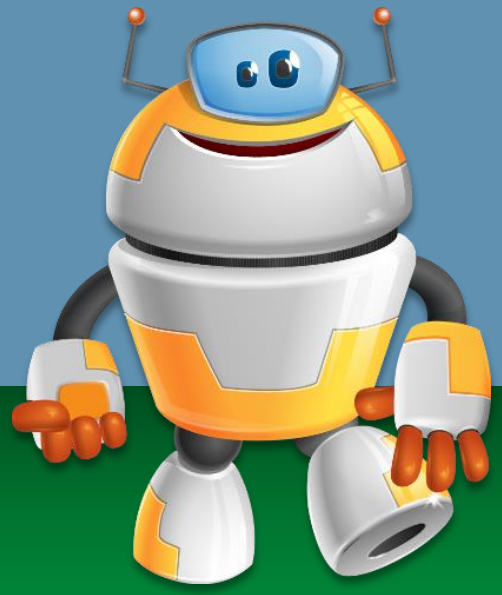
Information Governance Initiative: http://iginitiative.com/

TRS



Records Retention Schedule Review and Big Bucket Recommendations

TRS



Poll Question 5

https://i.engage.ms/tbrown/eRecords2017

TRS

Objectives and Goals

- Create a **single records retention schedule** that will apply to the organization
  - Organize **based on function**, not on the organizational structure of the agency
  - Where possible, a records series should **represent a collection** of record types with a similar purpose and legal requirements, not one type of record
  - File Plans will **guide individual departments** on how to apply the RRS to their content

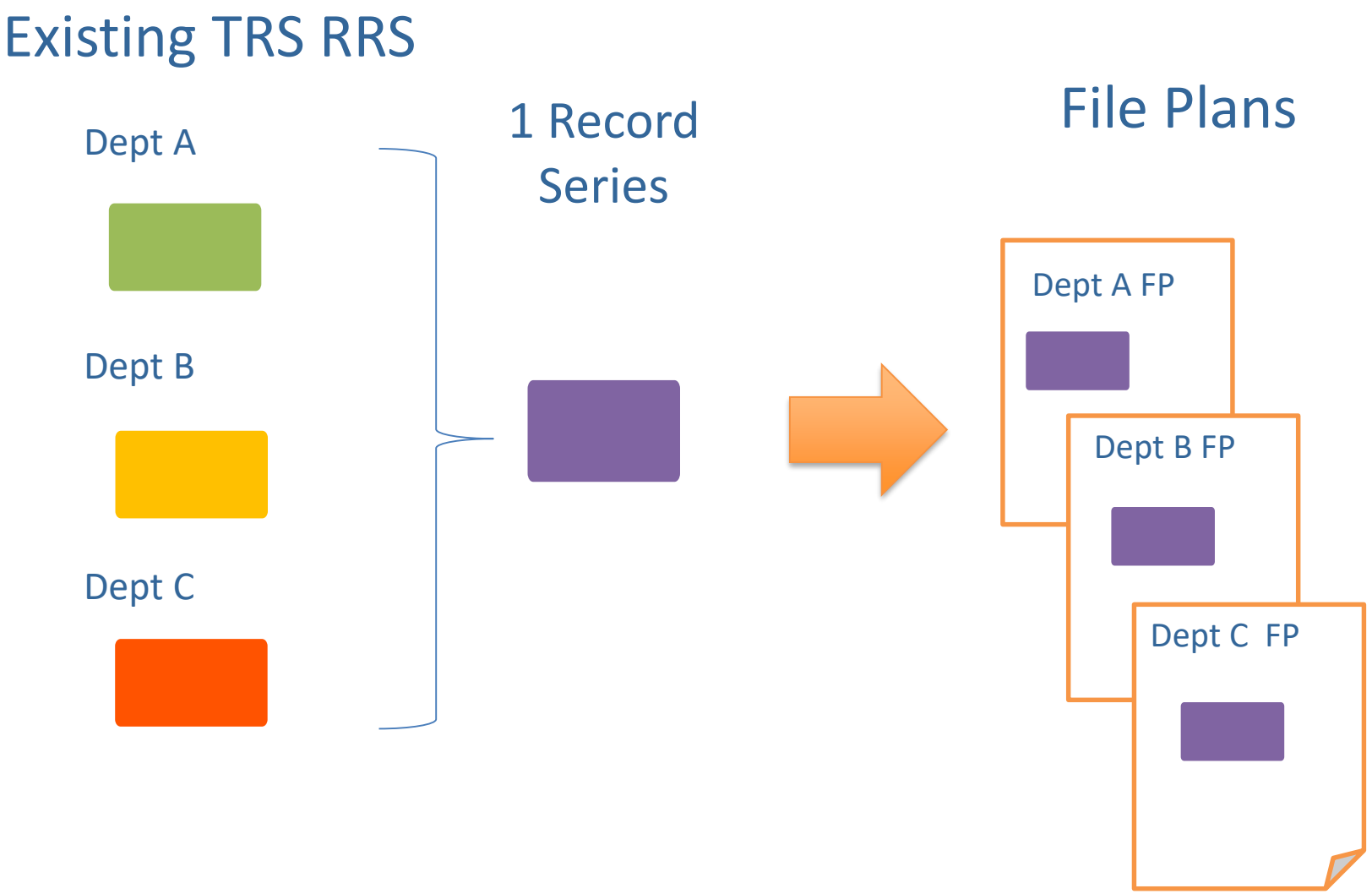
Eliminate Redundancy

Improve Maintainability

Enhance Usability

TRS

Records Retention Schedule Review



Existing RRS

- **23** Departmental Schedules
- **378** AIN

Schedule	AIN
Accounts Payable	4
Agency-Wide	5
Benefit Counseling	7
Benefit Payments	11
Benefit Processing	16
Benefit Reporting	10
Chief Benefit Officer	7
Communications	7
Executive Director	7
Financial Reporting	19
Governmental Relations	2

Schedule	AIN
Health and Insurance Benefits	30
Human Resources	25
Information Technology	27
Internal Audit	9
Investment Accounting	6
Investment Management	58
Legal Services	23
Payroll	17
Purchasing [Procurement and Contracts]	10
Records Management	16
Staff Services	42
Strategic Initiatives	20

TRS

After Big Bucket Recommendations

- **1** TRS Schedule
- **8** Functions
- **116** AIN

Function	Record Series
Agency Governance	27
Benefit Administration	16
Finance and Procurement	14
Human Resources	12
Information Technology	6
Investment Management	12
Legal and Compliance	5
Operations Support	24
	116

TRS

Creation of Standard Electronic Records and Information Repositories in SharePoint

TRS

What's in it for me?

- Find information more easily
- Less effort spent on records and information management
- New people will get up to speed more easily

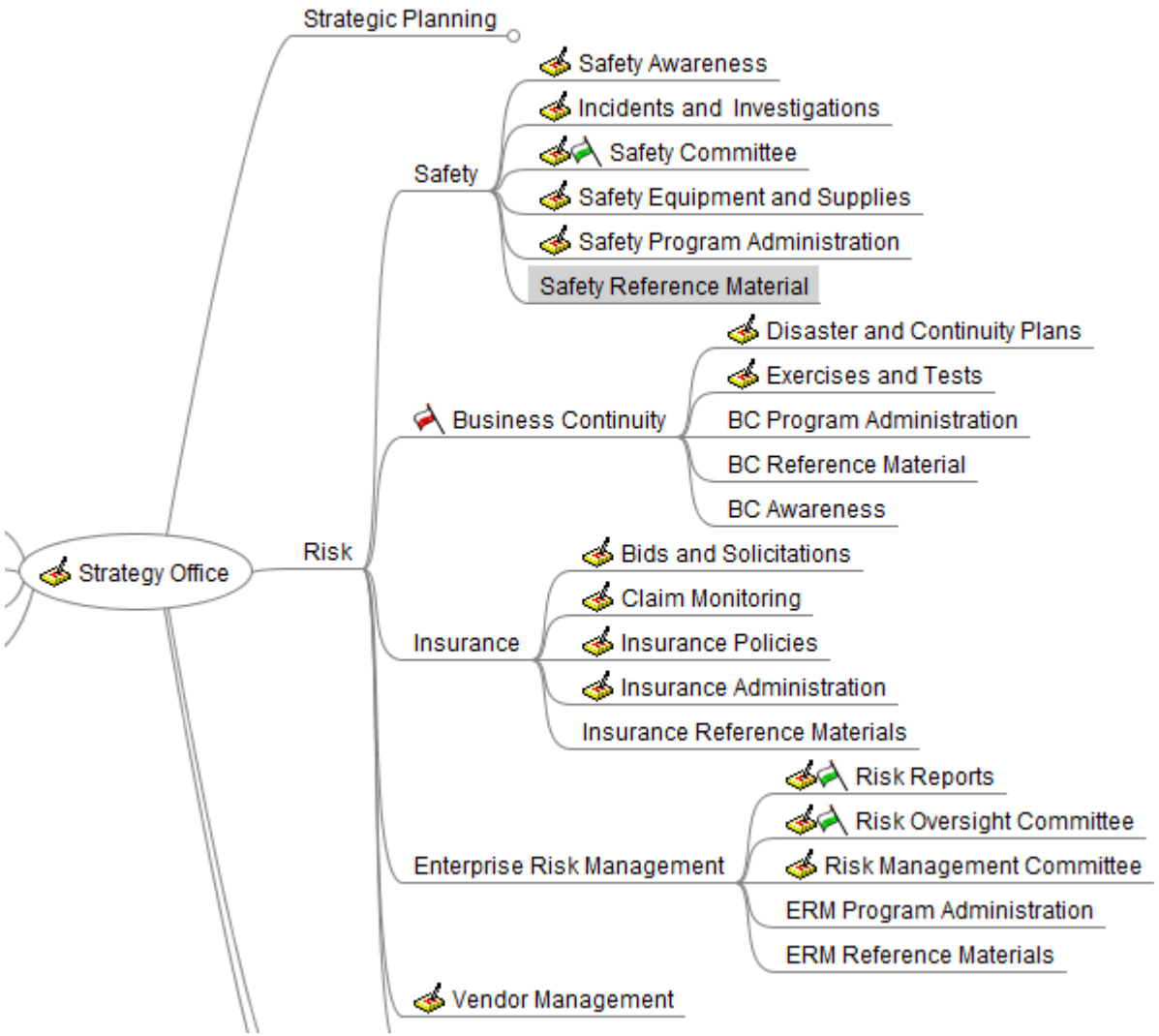
Draft Design

Migration Planning

Source	Details/Notes
\\ad\sdrive\Strategic Initiatives\Risk Management\COntracts Procurements and SLA	
\\ad\sdrive\Strategic Initiatives\Risk Management\Disaster REcovery	
\\ad\sdrive\Strategic Initiatives\Risk Management\ERM	
\\ad\sdrive\Strategic Initiatives\Risk Management\ERM\ERM F Reference - NO MOVE	
\\ad\sdrive\Strategic Initiatives\Risk Management\ERMERM Strategic Planning	
\\ad\sdrive\Strategic Initiatives\Risk Management\ERMERM Work Group	
\\ad\sdrive\Strategic Initiatives\Risk Management\ERM\Policy Administration	
\\ad\sdrive\Strategic Initiatives\Risk Management\ERM\Risk Heat Map	
\\ad\sdrive\Strategic Initiatives\Risk Management\ERM\Risk Profiles	
\\ad\sdrive\Strategic Initiatives\Risk Management\ERM\Risk Reports	
\\ad\sdrive\Strategic Initiatives\Risk Management\ERM\Risk Trend Reports	
\\ad\sdrive\Strategic Initiatives\Risk Management\ERM\RMC--Risk Management Committee	
\\ad\sdrive\Strategic Initiatives\Risk Management\ERM\ROC--Risk Oversight Committee	
\\ad\sdrive\Strategic Initiatives\Risk Management\ERM\Stoplight Reports	
\\ad\sdrive\Strategic Initiatives\Risk Management\IMT-SID051	Incident Management Team - Part of Busness Continuity
\\ad\sdrive\Strategic Initiatives\Risk Management\IMT-SID051	FY17 only
\\ad\sdrive\Strategic Initiatives\Risk Management\IMT-SID051	Part of Business Continuity

Content Catalog

Initial Design Session



Review

https://trsfusion/executive/si/risk/SitePages/Home.aspx

Homepage | Risk - Home

File Edit View Favorites Tools Help

SharePoint Learning Porta... | Outlook Web App | Suggested Sites | Suggested Sites | Suggested Sites | Suggested Sites

TRS SharePoint - No Confidential Information Allowed on This Site

Homer, Kristin

BROWSE PAGE

EDIT

TRS FUSION

Strategy Office | Work Areas | Executive Division | Divisions | Agency Wide | Help/Support | Search

Search this site

Risk

- HOME
- NOTEBOOK
- BUSINESS CONTINUITY
- ENTERPRISE RISK MANAGEMENT
  - Risk Reports
  - Risk Oversight Committee
  - Risk Management Committee
  - ERM Program Administration
  - ERM Reference Materials
- INSURANCE
- SAFETY
- VENDOR MANAGEMENT
- SITE CONTENTS

EDIT LINKS

TRS

Taxonomy

- What is a Taxonomy?
  - A structured set of terms used to classify content consistently and establish a common language
- Keep the taxonomy current and relevant to the changing environment of information at TRS
- Ensure accessibility to a working dictionary of terms
- Keep facets lean and terms high-level
- Analyze effort versus value

Division

Function

General Subject

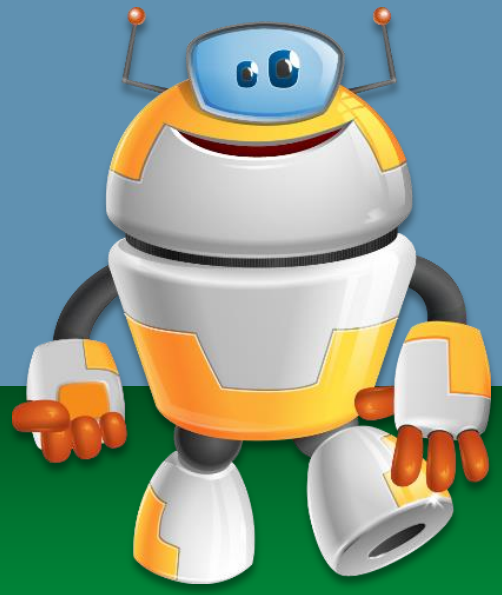
Records Series

Document Type

Fiscal Year

(Other)

TRS



Poll Question 6

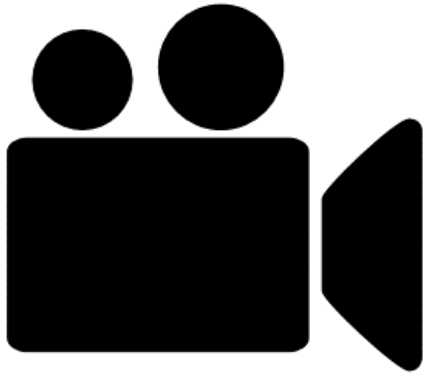
https://i.engage.ms/tbrown/eRecords2017

Training and Support

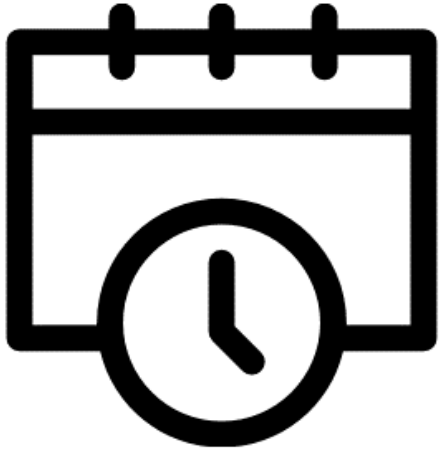
SharePoint classroom training

Ongoing training

SharePoint Learning Portal



Job Aids and computer-based training



Office hours

Training for Site Contacts and Power Users

E-Records Project – Timeline

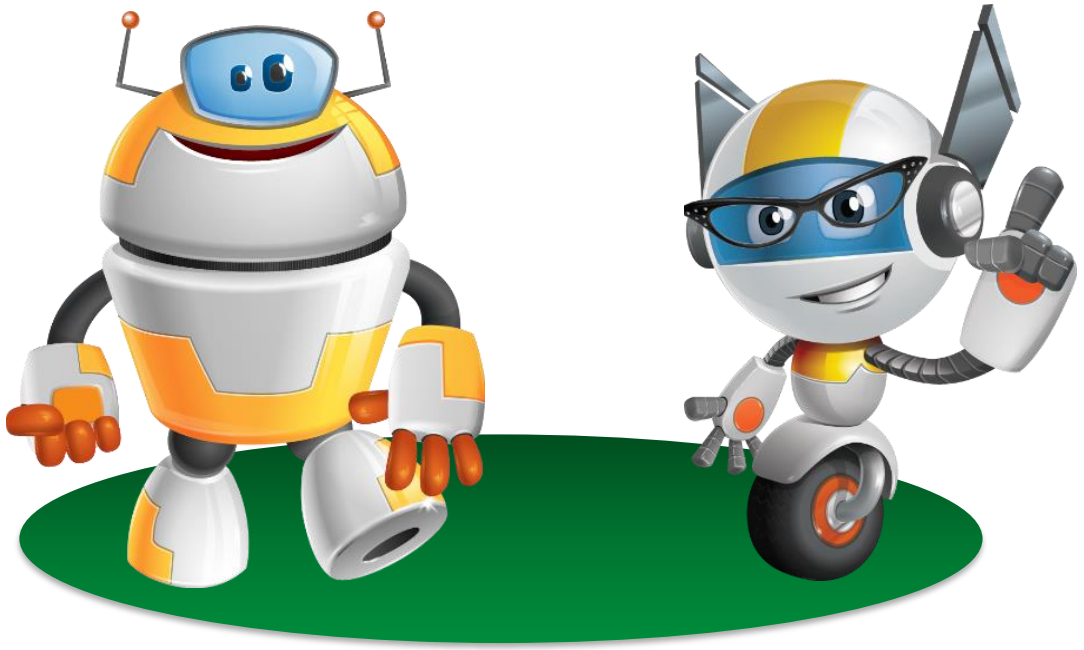
Assessment
Jan 17 - Apr 17
Complete

Solution Design
May 17 – Aug 17
Complete

Build & Deploy
Sep 17 – Jun 18
Just Started

Workshops
Jan 17 - Mar 17
Complete

Analysis
Apr 17 – May 17
Complete



TRS

Project Status and Accomplishments

Status:

Project is approximately 1/3 complete

- Assessment – Completed
- Key Findings and Recommendations – In Review
- SharePoint Sites – Pilot Completed (Strategy Office and Communications)
- Retention Schedule – Revised and In Review

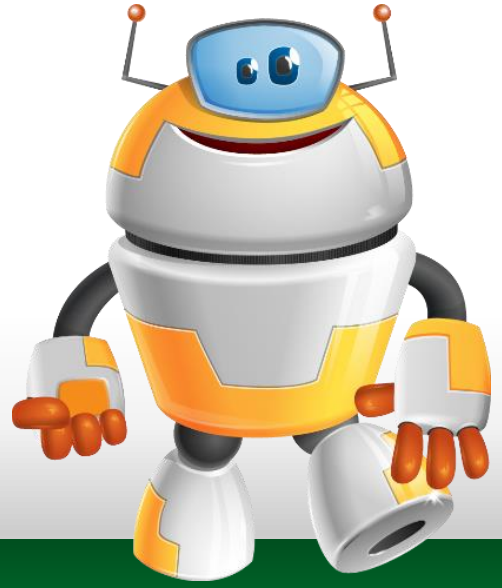
Accomplishments:

- Content catalogs
  - Outlines for shared repositories (SharePoint Sites)
  - File plans
- Beginnings of an Agency-Wide taxonomy (classification)
- Key findings and recommendations
- Revised retention “Big Bucket” schedule
- Pilot SharePoint site deployed

TRS

After the E-Records Project

- Common SharePoint locations for improved search and collaboration
- Improved records and information availability with SharePoint
- Improved access for management and staff across repositories
- Continuous Improvement Phase:
  - Streamline processes with SharePoint workflows
  - Site revisions
  - Refined roles and responsibilities
  - Expedited employee and purge processes
  - File plans to identify and manage records locations



Challenges and Lessons Learned

Challenges

Cost

- Full partnership with Access Sciences to share workload between contractors and TRS staff
- Added benefit of engagement and long-term sustainability

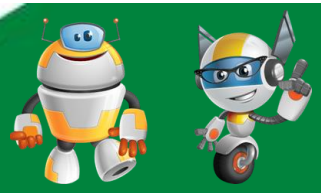
Competing Projects

- Work with departments to schedule implementations
- Low-impact, iterative process to design and build sites
- Scope project so that big projects are phased in later

Culture

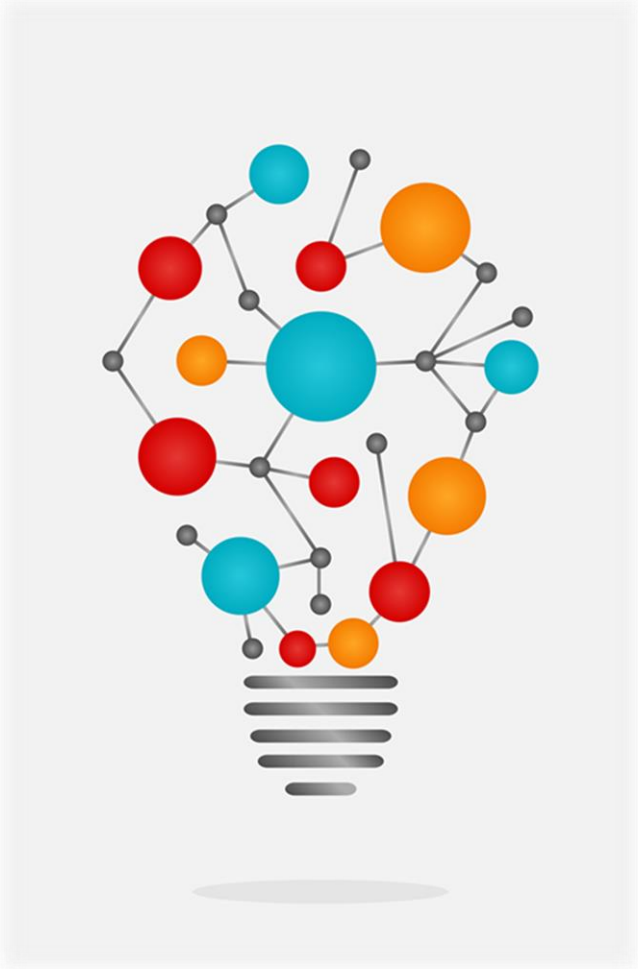
- Include agency change management personnel
- Drag and drop email into SharePoint libraries without ever leaving Outlook using 3rd party application

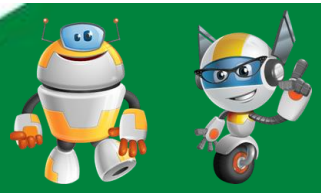
TRS



Lessons Learned

- Dedicated Project Manager
  - Project complexity and work load
- Begin the assessment phase before change management activities are initiated
  - Better understanding of how the current state and gaps are impacting employees; and, better positioned to define a solution to address the gaps
  - More effectively communicate the solution benefits in language that will be meaningful to employees





Lessons Learned (continued)

  - Partner with the OCM group to get the word out and develop training and communications suited to TRS culture
- Engage IT Security early in the project
- Long-term projects will encounter bumps in the road – preparation, nimbleness, and flexibility are critical
  - Life happens – turnover, internal, and external pressures, and competing obligations

Lessons Learned (continued)

Organizational Change Management

Ultimately, successful information governance is not confined to establishing a program, process, or policy…

it's **about the people**.

Questions?

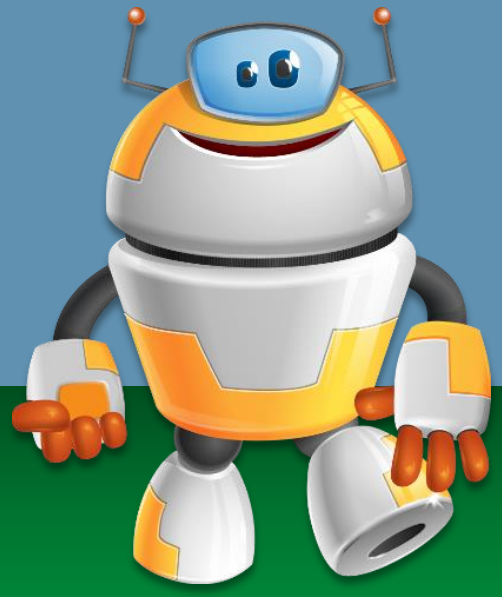
Thank You

Jimmie E. Savage, CRM
Manager, Records Management
Teacher Retirement System of Texas
Email: Jimmie.Savage@TRS.texas.gov

Kristin Homer
Senior Manager
Access Sciences
Email: KHomer@AccessSciences.com

Todd Brown
Managing Director
Access Sciences
Email: TBrown@AccessSciences.com

TRS



Survey

https://i.engage.ms/tbrown/eRecords2017

TRS