SAND2011-2681C

Standing Up Electronic Records Management in the Reality of an Existing Organization

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Today

- Project summary (what we did & where we are)
- Issues
- Migration (ingestion of content from other applications)
- Document & records management choices (tool implementation and user support)
- Extending records management capability

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Project Summary

- 2007: meetings, discussions, team formation, tool selections
  - Problem: Scattered information caches, local solutions, redundant information generation, unlocatable data
  - A solution? Electronic Information Management Services (EIMS)
  - Vision: EIMS is a single, centralized system to manage Sandia information. It will provide an easy-to-use, standards-rich, process-driven, workflow-enabled environment encompassing the full lifecycle for all Sandia information assets.
  - Goals: full management of information throughout its lifecycle; treat information as a corporate asset.

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Project Summary, *cont'd*

- 2008-2009: service development & tool implementation
  - OmniFind search
  - IBM WCM
  - EIMS FileNet
- 2010: migration from existing applications, stable production environment, added services & functionality (including business workflows & publish)

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Project Summary, *cont'd*

- **2011: adding digital asset management, expanded records management, & e-discovery capabilities**
- **Future: taxonomy/ontology sharing across applications; deploy content classifier (categorizer) as ingest additional legacy content; integrating into intranet search; release additional workflows in support of document control and specific business processes**

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Team Subject Areas

- Project management
- Business analysis (business process)
- User interface analysis & configuration
- COTS implementation and maintenance (IT)
- Configuration management
- System administration
- Database administration
- Taxonomy/Ontology design and support
- Web content management
- Records management
- Customer engagement (user interaction & support)

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Issues

- Under-resourced for vision
- Conflicting expectations—EIMS goal to work with users; counter-pressure to move quickly and conserve resources
- Tension between letting users run their portions of the business and maintaining overall control for the corporation
- Transforming “my information” mindset into philosophy of information as a corporate asset
- User expectations based on existing tools and processes
- Inconsistent use of business processes

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Migration

- Existing applications
  - Digital Archive (inactive electronic records)
  - Corporate Policy (life-of-Sandia records)
  - Web FileShare (document management)
  - Front-end applications pointing at Web FileShare
- EIMS expectations
  - Work with users (establish SME contacts)
  - Improve content organization and identification
- Impact
  - Document control SMEs gained clean-up & control
  - Overemphasis on existing capabilities
  - Push back of new features

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Document & Records Management Choices: Basic Layout

- User interface & folder structure
  - Out-of-the-box user interface (Workplace)
  - Job aids and training available
  - Three options for folder organization
    - No folders an option
    - Accommodating expectations & existing philosophies
  - Individual and group workplace options

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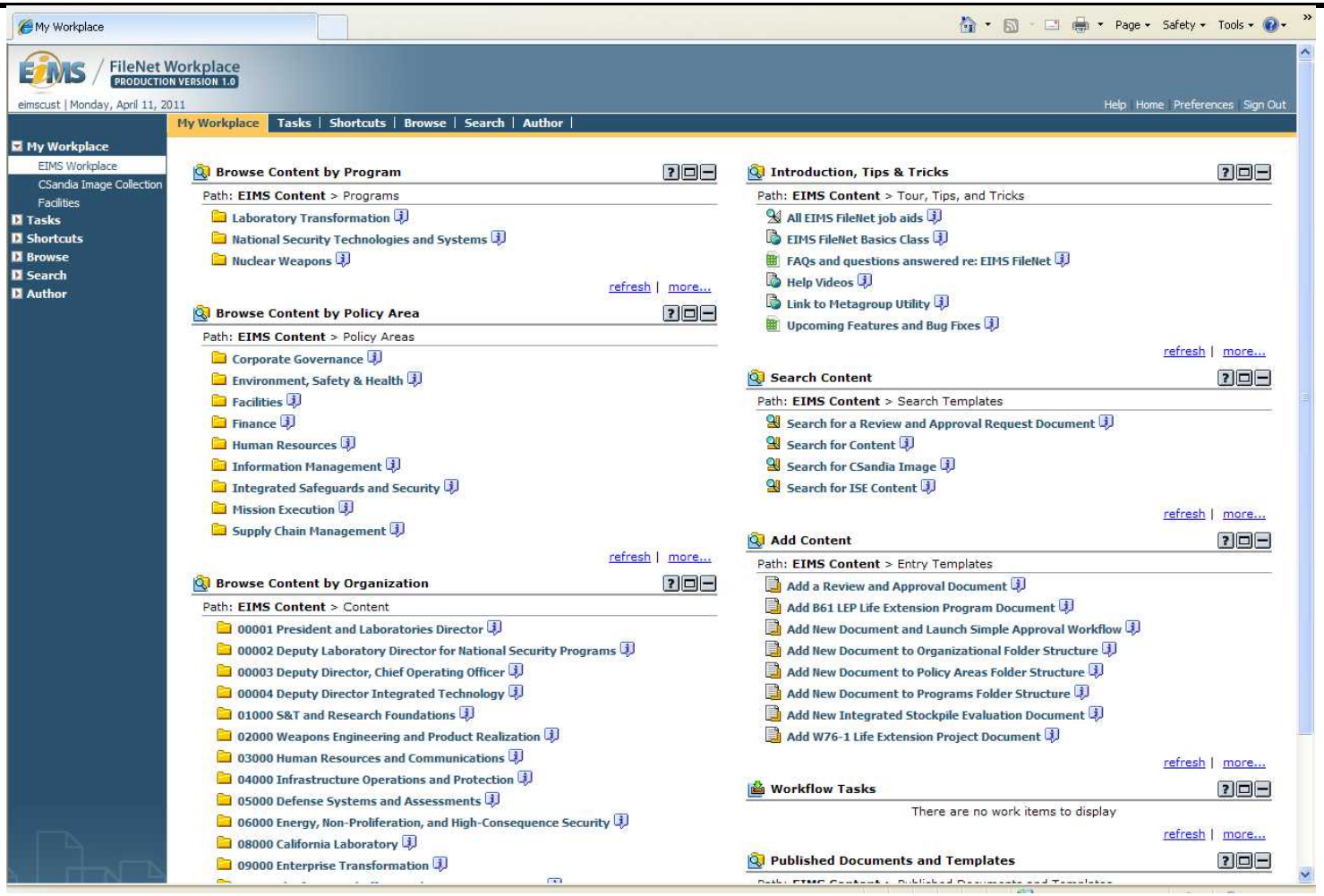
EIMS FileNet



EIMS Workplace—general user view

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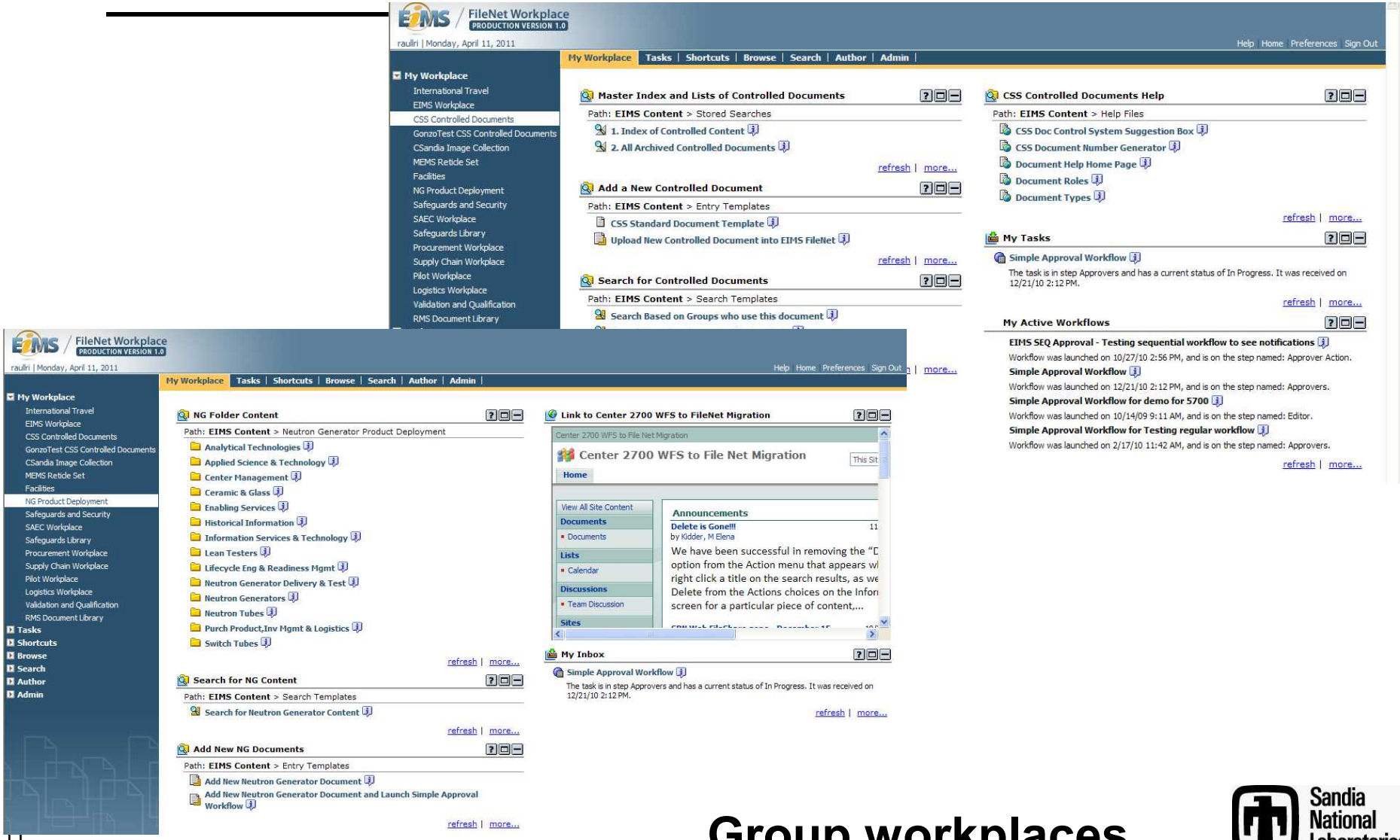
EIMS FileNet



Group workplaces

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Document & Records Management Choices: Documents

- Document classes
  - Properties (metadata fields)
    - Existing user expectations
    - Long-term management needs
  - Security (permissions)

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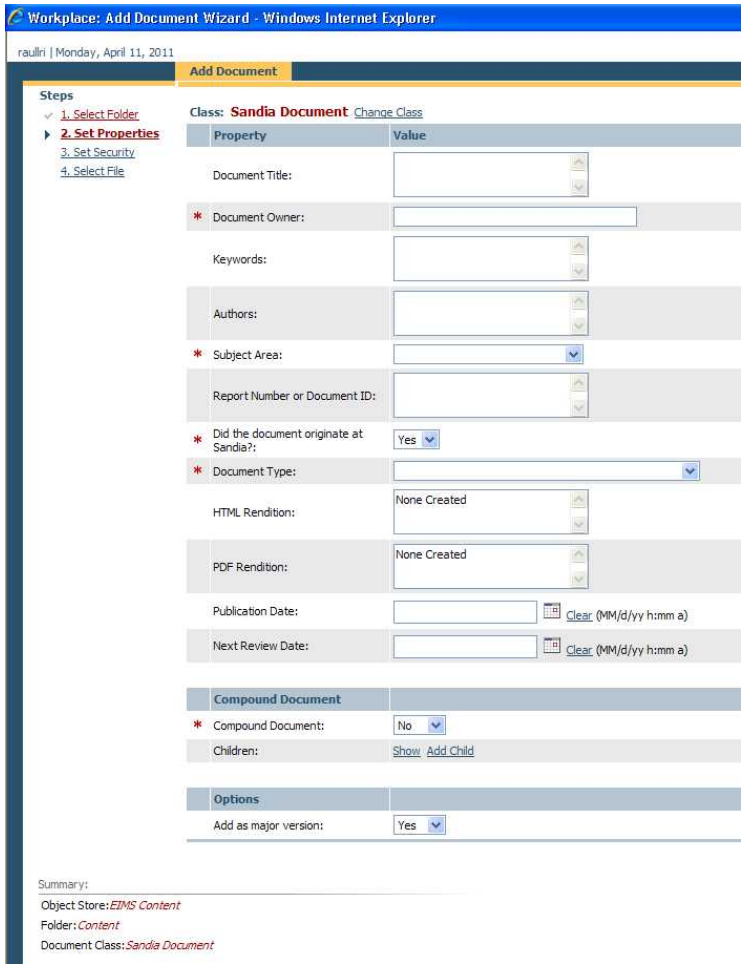
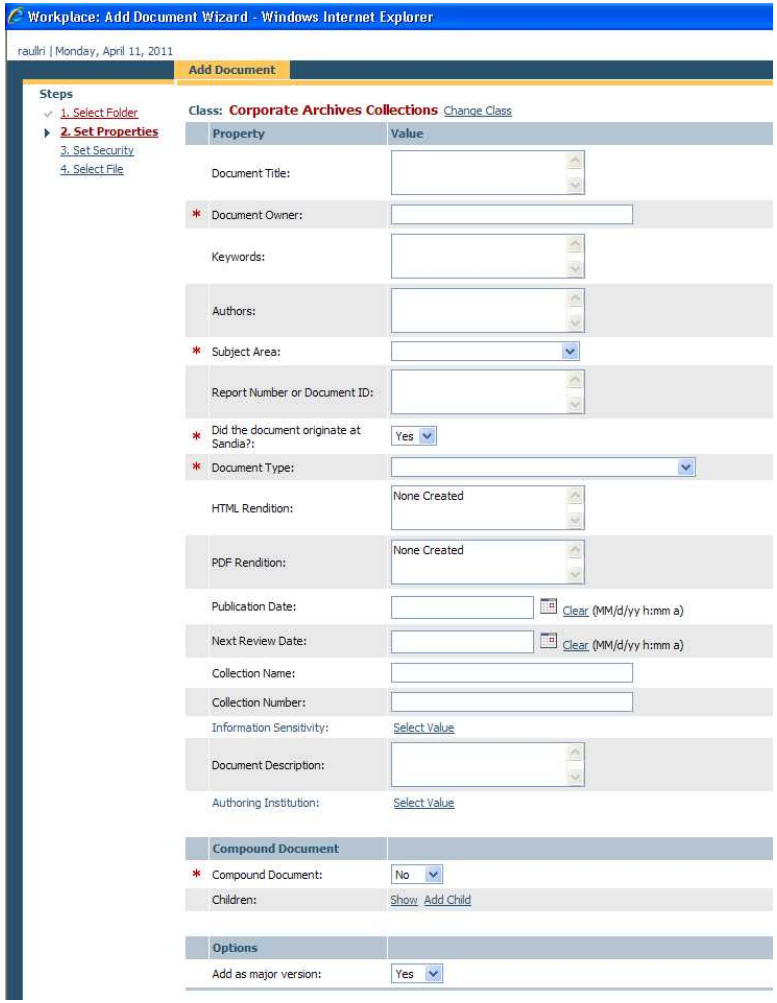
Document Properties



Sandia Document Class



Corporate Archives Document Class

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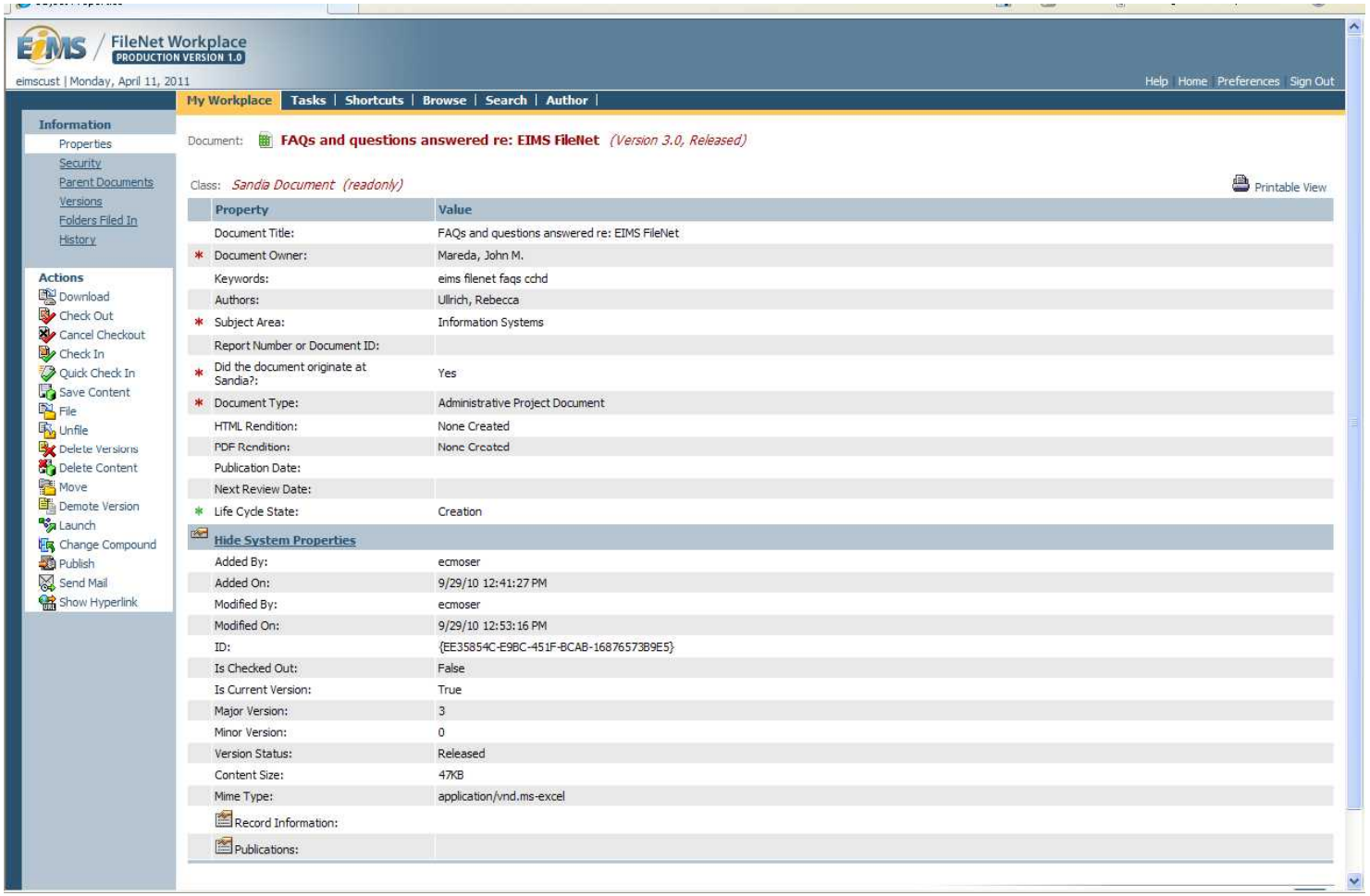
Document Properties



Info Page for a document—what FileNet captures & makes available

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Document & Records Management Choices: Records

- FileNet records component
  - Fully integrated into main application
  - Not currently available to users
  - Declared Digital Archive content record as migrated in
  - Using four required properties on documents to map to records file plan (retention)
  - Additional properties available within records manager for determining review parameters, assigning event, and capturing disposition

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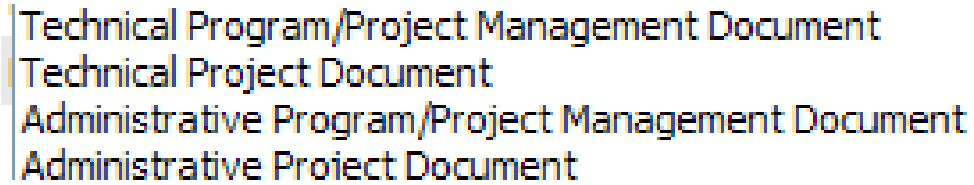
Required Properties (for records)

- **Did the document originate at Sandia?**
  - **Value is either Yes or No.**
- **Subject Area**
  - **Choice list (12 items)**
  - **Maps to Sandia retention schedule subject areas**

- **Document Type**
  - **Choice list (4 items)**
  - **Administrative or Technical**
  - **Program/Project Management or Project**



- **Document Owner**
  - **The person or role with ultimate responsibility for the content. Not usually the submitter or the author.**

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Document & Records Management Choices: Records

- Records Manager set-up
  - File Plan determines
    - Organization within Records Manager
    - Retention
- Sandia Records Retention & Disposition Schedule
  - Categories
  - Retention

- Mapping to Records Manager
  - Group retention periods to set up disposition & events in records manager
  - Group content to set up file plan, to which disposition is assigned

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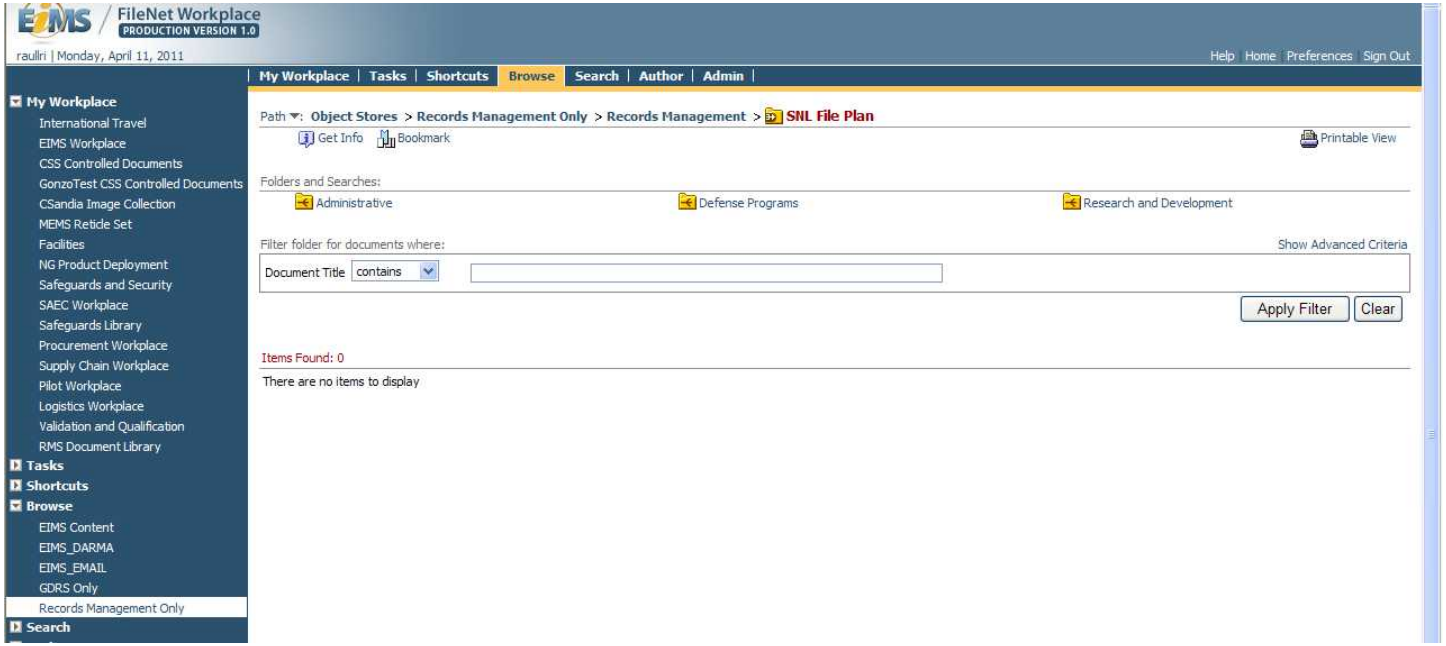
Document & Records Management Choices: Retention Schedule & EIMS FileNet

Administrative	Defense Programs	Environment, Safety and Health	Research And Development
(includes: Corp. Practices Facilities, Finance HR, Legal, etc.)	(includes: National Security & Defense Prog., Weapon Component Production, etc.)	(includes: ES&H, Health, Safety, etc)	(includes: Energy & Critical Infrastructure, LDRD, Tech. Transfer, WFO, etc.)



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Document & Records Management Choices: Retention Schedule to Disposition Schedule

Disposition Schedules

Disposition Name	Trigger		Disposition Action	Where Used	Notes
10Y+End of Project	ProjectCloseDate		Review & Transfer or Destroy		Level 3 R&D records;
Life of Sandia Date	LifeofSandiaDate		Review & Transfer	Corporate Policy records;	CPRs; traditional nuclear testing;
25Y+End of Project	ProjectCloseDate		Review & Transfer		includes non-stockpiled weapons; Level 1,2,&3 R&D records;non-proliferation;
5Y+Event	Dismantlement		Review & Transfer		stockpiled weapons;
20Y+Event	End of Project (whether project ended or was canceled)		Review & Transfer		Apply to Surety
20Y+Disposition	Disposition of Hardware		Review & Transfer		Apply to Surety
10Y+Event	Dismantlement		Review & Transfer		Weapon System Assessment Records; simulated weapon testing; raw data from nuclear testing (some; if can be used longer, falls into longer retention period)
25Y+Event	Publication		Review & Transfer		Weapon System Assessment Records--historic summary reports;
75Y+Event	Test Date		Review & Transfer		weapons effects testing records; traditional nuclear testing;

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Extending Records Management Capability

- Extend e-Discovery capability
- Deploy content classifier (categorizer) to assist in appropriate categorization of legacy content as it is brought in
- Declare record on content based on values in required properties and lifecycle state of the content
  - 3 lifecycle states already established and assigned to all content
  - Security (permissions) controlled by records manager

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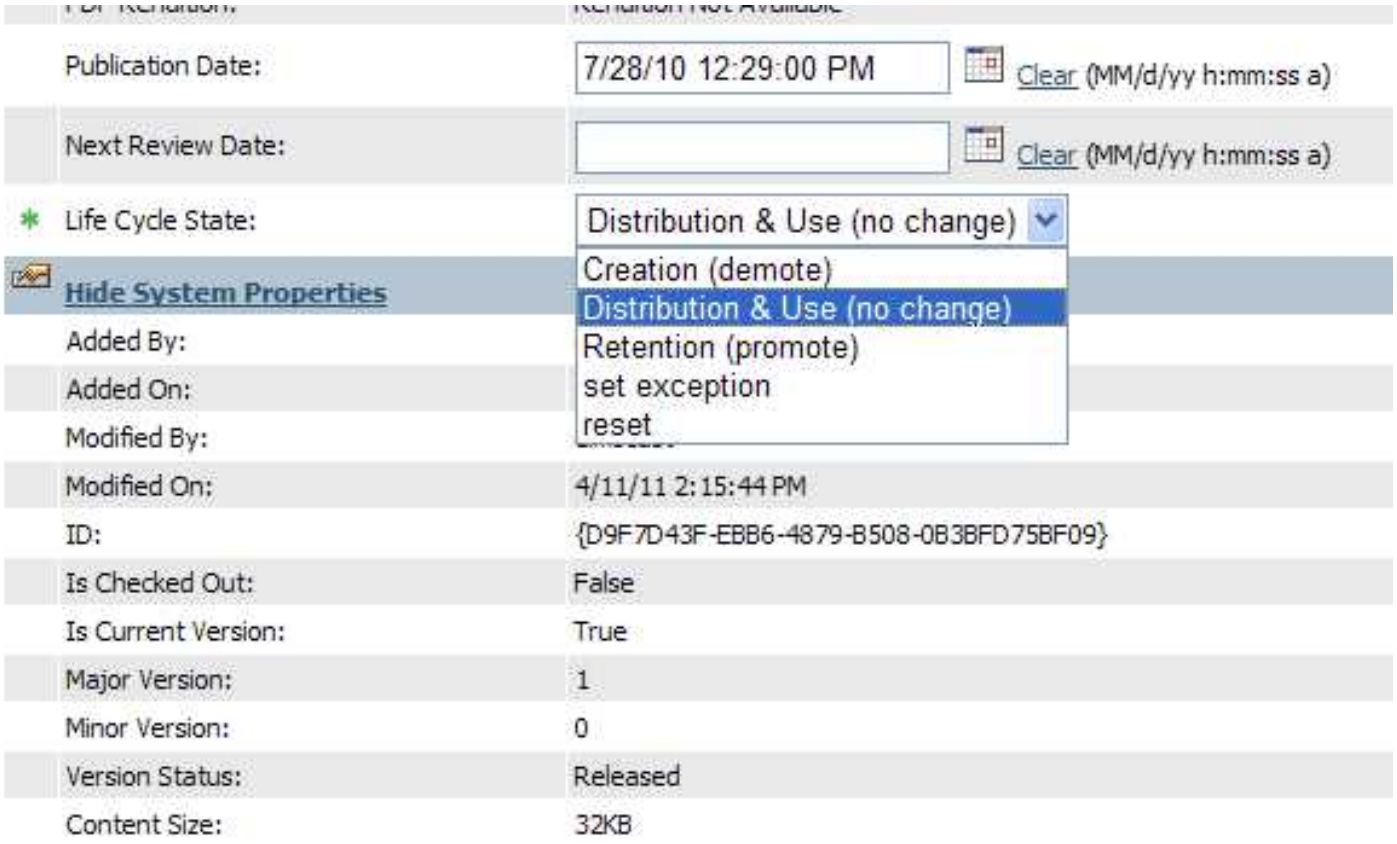
Lifecycle



Lifecycle states established during original configuration; will be used to declare record.

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Thank You

- **Questions?**

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