

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**



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.**



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)**



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**



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)**



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**



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



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**

EIMS FileNet

The screenshot displays the EIMS FileNet Workplace interface, version 1.0, running on a web browser. The interface is divided into several sections:

- Header:** Includes the EIMS logo, "FileNet Workplace PRODUCTION VERSION 1.0", and the date "eimsust | Monday, April 11, 2011". Navigation links for "Help", "Home", "Preferences", and "Sign Out" are present.
- Left Sidebar:** Contains a "My Workplace" section with links to "EIMS Workplace", "CSandia Image Collection", and "Facilities". Below this are sections for "Tasks", "Shortcuts", "Browse", "Search", and "Author".
- Main Content Area:** Features four primary panels:
 - Browse Content by Program:** Lists folders under "EIMS Content > Programs", including "Laboratory Transformation", "National Security Technologies and Systems", and "Nuclear Weapons".
 - Browse Content by Policy Area:** Lists folders under "EIMS Content > Policy Areas", including "Corporate Governance", "Environment, Safety & Health", "Facilities", "Finance", "Human Resources", "Information Management", "Integrated Safeguards and Security", "Mission Execution", and "Supply Chain Management".
 - Browse Content by Organization:** Lists folders under "EIMS Content > Content", including "00001 President and Laboratories Director", "00002 Deputy Laboratory Director for National Security Programs", "00003 Deputy Director, Chief Operating Officer", "00004 Deputy Director Integrated Technology", "01000 S&T and Research Foundations", "02000 Weapons Engineering and Product Realization", "03000 Human Resources and Communications", "04000 Infrastructure Operations and Protection", "05000 Defense Systems and Assessments", "06000 Energy, Non-Proliferation, and High-Consequence Security", "08000 California Laboratory", and "09000 Enterprise Transformation".
 - Introduction, Tips & Tricks:** Provides links to "All EIMS FileNet job aids", "EIMS FileNet Basics Class", "FAQs and questions answered re: EIMS FileNet", "Help Videos", "Link to Metagroup Utility", and "Upcoming Features and Bug Fixes".
 - Search Content:** Offers links to "Search for a Review and Approval Request Document", "Search for Content", "Search for CSandia Image", and "Search for ISE Content".
 - Add Content:** Provides links to "Add a Review and Approval Document", "Add B61 LEP Life Extension Program Document", "Add New Document and Launch Simple Approval Workflow", "Add New Document to Organizational Folder Structure", "Add New Document to Policy Areas Folder Structure", "Add New Document to Programs Folder Structure", "Add New Integrated Stockpile Evaluation Document", and "Add W76-1 Life Extension Project Document".
 - Workflow Tasks:** Displays the message "There are no work items to display".
 - Published Documents and Templates:** Provides a link to "Published Documents and Templates".

EIMS Workplace—general user view

EIMS FileNet

The screenshot displays the EIMS FileNet Workplace interface, which is a web-based application for managing controlled documents. The interface is divided into several sections:

- Header:** Includes the EIMS logo, "FileNet Workplace PRODUCTION VERSION 1.0", the user name "raulni", the date "Monday, April 11, 2011", and navigation links for "Help", "Home", "Preferences", and "Sign Out".
- Left Sidebar:** Contains a "My Workplace" menu with a list of workspaces: International Travel, EIMS Workplace, CSS Controlled Documents, GonzoTest CSS Controlled Documents, CSandia Image Collection, MEMS Reticle Set, Facilities, NG Product Deployment, Safeguards and Security, SAEC Workplace, Safeguards Library, Procurement Workplace, Supply Chain Workplace, Pilot Workplace, Logistics Workplace, Validation and Qualification, and RMS Document Library. Below this is a "Tasks" section with links for "Shortcuts", "Browse", "Search", "Author", and "Admin".
- Main Content Area:** Displays several panels:
 - Master Index and Lists of Controlled Documents:** Shows a path "EIMS Content > Stored Searches" with links to "1. Index of Controlled Content" and "2. All Archived Controlled Documents". It includes "refresh" and "more..." links.
 - Add a New Controlled Document:** Shows a path "EIMS Content > Entry Templates" with links to "CSS Standard Document Template" and "Upload New Controlled Document into EIMS FileNet". It includes "refresh" and "more..." links.
 - Search for Controlled Documents:** Shows a path "EIMS Content > Search Templates" with a link to "Search Based on Groups who use this document". It includes "refresh" and "more..." links.
 - NG Folder Content:** Shows a path "EIMS Content > Neutron Generator Product Deployment" with a list of folders: Analytical Technologies, Applied Science & Technology, Center Management, Ceramic & Glass, Enabling Services, Historical Information, Information Services & Technology, Lean Testers, Lifecycle Eng & Readiness Mgmt, Neutron Generator Delivery & Test, Neutron Generators, Neutron Tubes, Purch Product Inv Mgmt & Logistics, and Switch Tubes. It includes "refresh" and "more..." links.
 - Search for NG Content:** Shows a path "EIMS Content > Search Templates" with a link to "Search for Neutron Generator Content". It includes "refresh" and "more..." links.
 - Add New NG Documents:** Shows a path "EIMS Content > Entry Templates" with links to "Add New Neutron Generator Document" and "Add New Neutron Generator Document and Launch Simple Approval Workflow". It includes "refresh" and "more..." links.
 - Link to Center 2700 WFS to FileNet Migration:** A panel titled "Center 2700 WFS to File Net Migration" with a "Home" link and a "View All Site Content" link. It includes a "Documents" section with a link to "Delete is Gone!!" and a "Lists" section with a link to "Calendar".
 - My Inbox:** Shows a path "EIMS Content > Search Templates" with a link to "Simple Approval Workflow". It includes "refresh" and "more..." links.
- Right Sidebar:** Contains a "CSS Controlled Documents Help" section with a path "EIMS Content > Help Files" and links to "CSS Doc Control System Suggestion Box", "CSS Document Number Generator", "Document Help Home Page", "Document Roles", and "Document Types". It includes "refresh" and "more..." links. Below this is a "My Tasks" section with a link to "Simple Approval Workflow". It includes "refresh" and "more..." links. At the bottom is a "My Active Workflows" section with a link to "EIMS SEQ Approval - Testing sequential workflow to see notifications". It includes "refresh" and "more..." links.

Group workplaces



Document & Records Management Choices: Documents

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

Document Properties

Workplace: Add Document Wizard - Windows Internet Explorer

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Add Document

Steps

- 1. Select Folder
- 2. Set Properties
- 3. Set Security
- 4. Select File

Class: Sandia Document [Change Class](#)

Property	Value
Document Title:	<input type="text"/>
* Document Owner:	<input type="text"/>
Keywords:	<input type="text"/>
Authors:	<input type="text"/>
* Subject Area:	<input type="text"/>
Report Number or Document ID:	<input type="text"/>
* Did the document originate at Sandia?:	Yes <input type="button" value="v"/>
* Document Type:	<input type="text"/>
HTML Rendition:	None Created <input type="button" value="v"/>
PDF Rendition:	None Created <input type="button" value="v"/>
Publication Date:	<input type="text"/> <input type="button" value="Clear"/> (MM/d/yy h:mm a)
Next Review Date:	<input type="text"/> <input type="button" value="Clear"/> (MM/d/yy h:mm a)
Compound Document	
* Compound Document:	No <input type="button" value="v"/>
Children:	Show Add Child
Options	
Add as major version:	Yes <input type="button" value="v"/>

Summary:

Object Store: *EIMS Content*

Folder: *Content*

Document Class: *Sandia Document*

Workplace: Add Document Wizard - Windows Internet Explorer

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Add Document

Steps

- 1. Select Folder
- 2. Set Properties
- 3. Set Security
- 4. Select File

Class: Corporate Archives Collections [Change Class](#)

Property	Value
Document Title:	<input type="text"/>
* Document Owner:	<input type="text"/>
Keywords:	<input type="text"/>
Authors:	<input type="text"/>
* Subject Area:	<input type="text"/>
Report Number or Document ID:	<input type="text"/>
* Did the document originate at Sandia?:	Yes <input type="button" value="v"/>
* Document Type:	<input type="text"/>
HTML Rendition:	None Created <input type="button" value="v"/>
PDF Rendition:	None Created <input type="button" value="v"/>
Publication Date:	<input type="text"/> <input type="button" value="Clear"/> (MM/d/yy h:mm a)
Next Review Date:	<input type="text"/> <input type="button" value="Clear"/> (MM/d/yy h:mm a)
Collection Name:	<input type="text"/>
Collection Number:	<input type="text"/>
Information Sensitivity:	Select Value
Document Description:	<input type="text"/>
Authoring Institution:	Select Value
Compound Document	
* Compound Document:	No <input type="button" value="v"/>
Children:	Show Add Child
Options	
Add as major version:	Yes <input type="button" value="v"/>

Sandia Document Class

Corporate Archives
Document Class

Document Properties

The screenshot displays the FileNet Workplace interface. The top navigation bar includes 'My Workplace', 'Tasks', 'Shortcuts', 'Browse', 'Search', and 'Author'. The left sidebar contains a menu with 'Information' (Properties, Security, Parent Documents, Versions, Folders Filed In, History) and 'Actions' (Download, Check Out, Cancel Checkout, Check In, Quick Check In, Save Content, File, Unfile, Delete Versions, Delete Content, Move, Demote Version, Launch, Change Compound, Publish, Send Mail, Show Hyperlink). The main content area shows the document 'FAQs and questions answered re: EIMS FileNet (Version 3.0, Released)' with a class of 'Sandia Document (readonly)'. A 'Printable View' icon is visible. Below this is a table of properties and values.

Property	Value
Document Title:	FAQs and questions answered re: EIMS FileNet
* Document Owner:	Mareda, John M.
Keywords:	eims flenet faqs cchd
Authors:	Ullrich, Rebecca
* Subject Area:	Information Systems
Report Number or Document ID:	
* Did the document originate at Sandia?:	Yes
* Document Type:	Administrative Project Document
HTML Rendition:	None Created
PDF Rendition:	None Created
Publication Date:	
Next Review Date:	
* Life Cycle State:	Creation

Below the properties table is a section titled 'Hide System Properties' containing the following data:

Added By:	ecmoser
Added On:	9/29/10 12:41:27 PM
Modified By:	ecmoser
Modified On:	9/29/10 12:53:16 PM
ID:	{EE35854C-E9BC-451F-BCAB-16876573B9E5}
Is Checked Out:	False
Is Current Version:	True
Major Version:	3
Minor Version:	0
Version Status:	Released
Content Size:	47KB
Mime Type:	application/vnd.ms-excel
Record Information:	
Publications:	

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



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**



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.

Communication
Corporate Practices
Environment, Safety and Health
Facilities
Finance
Human Resources
Information Systems
Logistics
Nuclear Weapons
Procurement
Research and Development
Safeguards and Security

Technical Program/Project Management Document
Technical Project Document
Administrative Program/Project Management Document
Administrative Project Document



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**

Document & Records Management Choices: Retention Schedule & EIMS FileNet

Administrative

(includes: Corp. Practices
Facilities, Finance
HR, Legal, etc.)

Defense Programs

(includes: National Security
& Defense Prog., Weapon
Component Production, etc.)

Environment, Safety and Health

(includes: ES&H, Health,
Safety, etc)

Research And Development

(includes: Energy &
Critical Infrastructure, LDRD,
Tech. Transfer, WFO, etc.)

The screenshot displays the EIMS FileNet Workplace interface. The top navigation bar includes links for My Workplace, Tasks, Shortcuts, Browse, Search, Author, and Admin. The left sidebar lists various workspaces and tasks. The main content area shows the path: Object Stores > Records Management Only > Records Management > SNL File Plan. Below the path, there are links for Get Info and Bookmark, and a Printable View button. The Folders and Searches section shows three folders: Administrative, Defense Programs, and Research and Development. A filter section allows users to filter documents by folder and document title, with a dropdown menu set to 'contains'. The bottom of the page shows 'Items Found: 0' and 'There are no items to display'.

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;



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**

Lifecycle

Publication Date:	7/28/10 12:29:00 PM	 Clear (MM/d/yy h:mm:ss a)
Next Review Date:		 Clear (MM/d/yy h:mm:ss a)
* Life Cycle State:	Distribution & Use (no change) ▼	
 <u>Hide System Properties</u>	Creation (demote)	
Added By:	Distribution & Use (no change)	
Added On:	Retention (promote)	
Modified By:	set exception	
Modified On:	reset	
ID:	{D9F7D43F-EBB6-4879-B508-0B3BFD75BF09}	
Is Checked Out:	False	
Is Current Version:	True	
Major Version:	1	
Minor Version:	0	
Version Status:	Released	
Content Size:	32KB	

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



Thank You

- Questions?