

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

DIGIN II, April 13-14, 2011

**Rebecca Ullrich
Corporate Historian
Sandia National Laboratories**



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



My Workplace

EIMS / FileNet Workplace
PRODUCTION VERSION 1.0

eimsrust | Monday, April 11, 2011

Help Home Preferences Sign Out

My Workplace

- EIMS Workplace
- CSandia Image Collection
- Facilities
- Tasks
- Shortcuts
- Browse
- Search
- Author

Browse Content by Program
Path: EIMS Content > Programs

- Laboratory Transformation
- National Security Technologies and Systems
- Nuclear Weapons

Browse Content by Policy Area
Path: EIMS Content > Policy Areas

- Corporate Governance
- Environment, Safety & Health
- Facilities
- Finance
- Human Resources
- Information Management
- Integrated Safeguards and Security
- Mission Execution
- Supply Chain Management

Browse Content by Organization
Path: EIMS Content > Content

- 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
- 09000 Enterprise Transformation

Introduction, Tips & Tricks
Path: EIMS Content > Tour, Tips, and Tricks

- All EIMS FileNet job aids
- EIMS FileNet Basics Class
- FAQs and questions answered re: EIMS FileNet
- Help Videos
- Link to Metagroup Utility
- Upcoming Features and Bug Fixes

Search Content
Path: EIMS Content > Search Templates

- Search for a Review and Approval Request Document
- Search for Content
- Search for CSandia Image
- Search for ISE Content

Add Content
Path: EIMS Content > Entry Templates

- 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
- Add W76-1 Life Extension Project Document

Workflow Tasks
There are no work items to display

Published Documents and Templates

EIMS Workplace—general user view

EIMS FileNet



FileNet Workplace
PRODUCTION VERSION 1.0

raulri | Monday, April 11, 2011

My Workplace

- 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
- RMS Document Library

Tasks

- Shortcuts
- Browse
- Search
- Author
- Admin



EIMS / FileNet Workplace
PRODUCTION VERSION 1.0

raulri | Monday, April 11, 2011

My Workplace

- 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
- RMS Document Library

My Workplace

Tasks | Shortcuts | Browse | Search | Author | Admin |

Master Index and Lists of Controlled Documents

Path: EIMS Content > Stored Searches

- 1. Index of Controlled Content
- 2. All Archived Controlled Documents

Add a New Controlled Document

Path: EIMS Content > Entry Templates

- 1. CSS Standard Document Template
- 2. Upload New Controlled Document into EIMS FileNet

Search for Controlled Documents

Path: EIMS Content > Search Templates

- 1. Search Based on Groups who use this document

My Tasks

Simple Approval Workflow

The task is in step Approvers and has a current status of In Progress. It was received on 12/21/10 2:12 PM.

My Active Workflows

EIMS SEQ Approval - Testing sequential workflow to see notifications

Workflow was launched on 10/27/10 2:56 PM, and is on the step named: Approver Action.

Simple Approval Workflow

Workflow was launched on 12/21/10 2:12 PM, and is on the step named: Approvers.

Simple Approval Workflow for demo for 5700

Workflow was launched on 10/14/09 9:11 AM, and is on the step named: Editor.

Simple Approval Workflow for Testing regular workflow

Workflow was launched on 2/17/10 11:42 AM, and is on the step named: Approvers.

Link to Center 2700 WFS to FileNet Migration

Center 2700 WFS to File Net Migration

Announcements

Delete is Gone!! by Kidder, M Elena

We have been successful in removing the "D" option from the Action menu that appears w/ right click a title on the search results, as we Delete from the Actions choices on the Infor screen for a particular piece of content....

My Inbox

Simple Approval Workflow

The task is in step Approvers and has a current status of In Progress. It was received on 12/21/10 2:12 PM.

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

raullri | Monday, April 11, 2011

Add Document

Steps

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

Class: **Sandia Document** Change Class

Property	Value
Document Title:	
* Document Owner:	
Keywords:	
Authors:	
* Subject Area:	
Report Number or Document ID:	
* Did the document originate at Sandia?:	Yes
* Document Type:	
HTML Rendition:	None Created
PDF Rendition:	None Created
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
Children:	Show Add Child
Options	
Add as major version:	Yes

Summary:

Object Store: *EIMS Content*

Folder: *Content*

Document Class: *Sandia Document*

Sandia Document Class

Workplace: Add Document Wizard - Windows Internet Explorer

raullri | Monday, April 11, 2011

Add Document

Steps

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

Class: **Corporate Archives Collections** Change Class

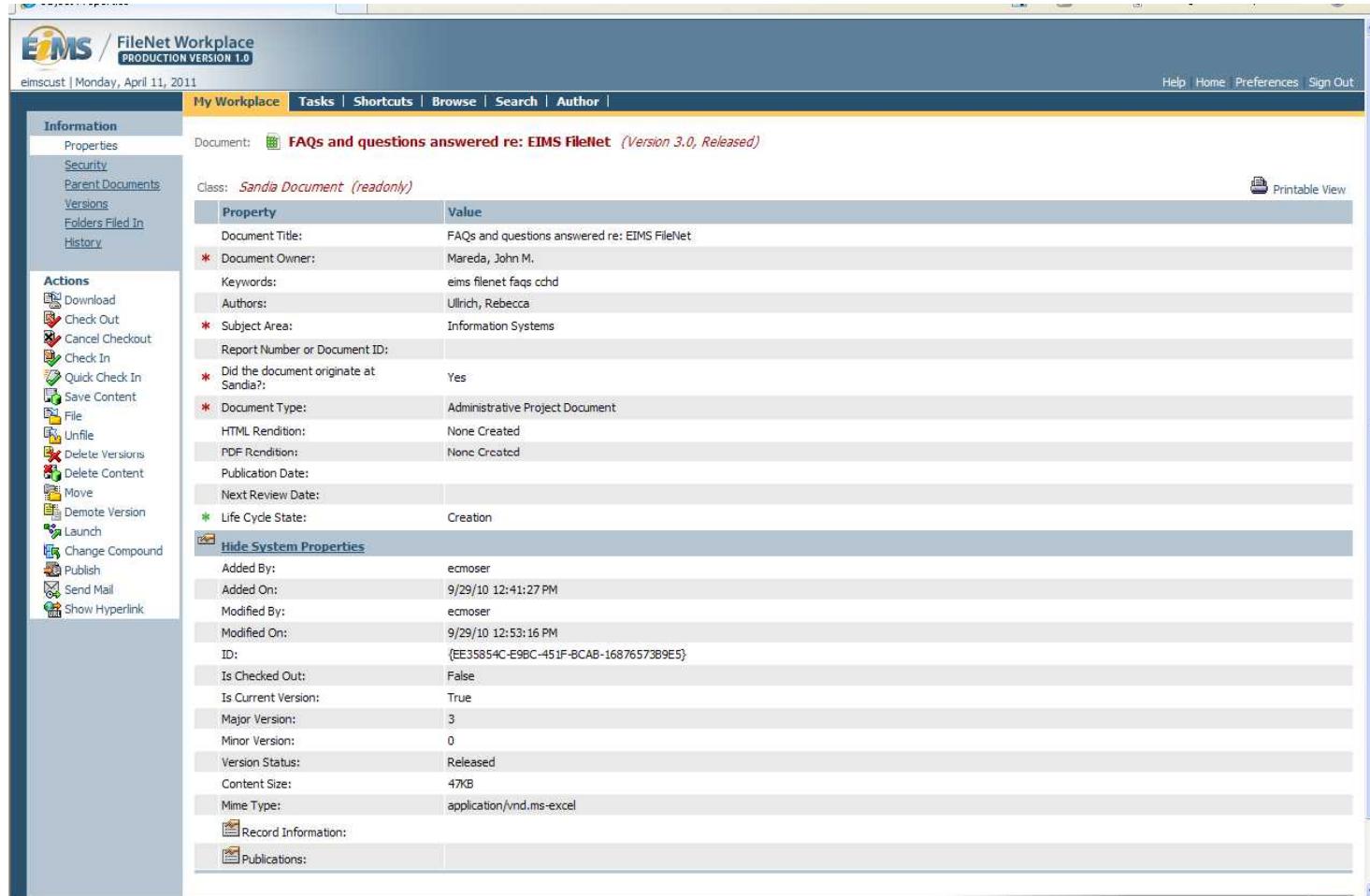
Property	Value
Document Title:	
* Document Owner:	
Keywords:	
Authors:	
* Subject Area:	
Report Number or Document ID:	
* Did the document originate at Sandia?:	Yes
* Document Type:	
HTML Rendition:	None Created
PDF Rendition:	None Created
Publication Date:	<input type="text"/> <input type="button" value="Clear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

Corporate Archives
Document Class





Document Properties



The screenshot shows the 'FileNet Workplace PRODUCTION VERSION 1.0' interface. The document title is 'FAQs and questions answered re: EIMS FileNet (Version 3.0, Released)'. The document class is 'Sandia Document (readonly)'. The properties table includes the following data:

Property	Value
Document Title:	FAQs and questions answered re: EIMS FileNet
* Document Owner:	Mareda, John M.
Keywords:	eims filenet 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
Hide System Properties	
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-1687657389E5}
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

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

- Document Type

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

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

- Document Owner

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



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

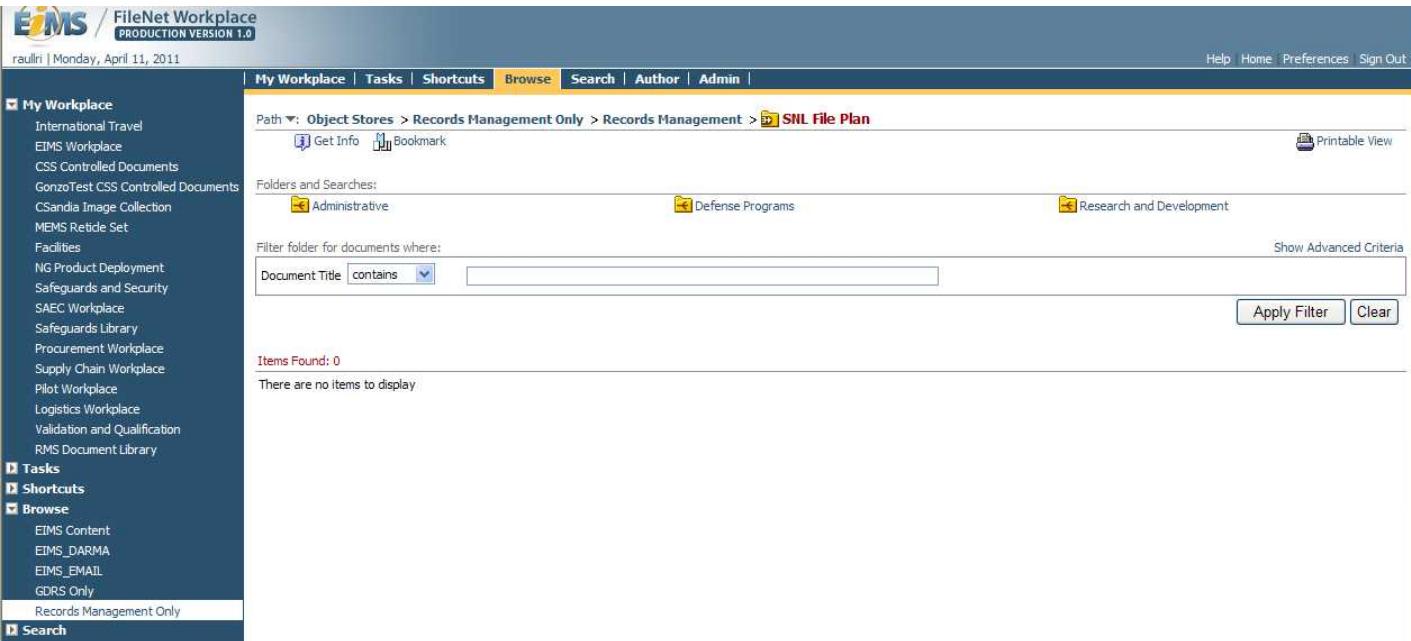
(includes: National Security
& Defense Prog., Weapon
Component Production, etc.)

Environment, Safety and Health

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

Research And Development

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



The screenshot shows the EIMS FileNet Workplace interface. The top navigation bar includes links for Help, Home, Preferences, and Sign Out. The left sidebar is titled 'My Workplace' and contains a list of various workplace categories. The main content area shows the 'Records Management Only' section, with a breadcrumb trail: Path ▾: Object Stores > Records Management Only > Records Management > SNL File Plan. It features three main categories: 'Administrative' (with a sub-link to 'SNL File Plan'), 'Defense Programs', and 'Research and Development'. Below these are search and filter options, including a 'Document Title' search field and a 'Show Advanced Criteria' link. The message 'Items Found: 0' indicates no results for the current filter.

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	<input type="button" value="Clear (MM/d/yy h:mm:ss a)"/>
Next Review Date:		<input type="button" value="Clear (MM/d/yy h:mm:ss a)"/>
* Life Cycle State:	<input type="button" value="Distribution & Use (no change)"/> <input type="button" value="Creation (demote)"/> <input type="button" value="Distribution & Use (no change)"/> <input type="button" value="Retention (promote)"/> <input type="button" value="set exception"/> <input type="button" value="reset"/>	
<input type="checkbox"/> Hide System Properties		
Added By:		
Added On:		
Modified By:		
Modified On:	4/11/11 2:15:44 PM	
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?