Enabling the Digital World



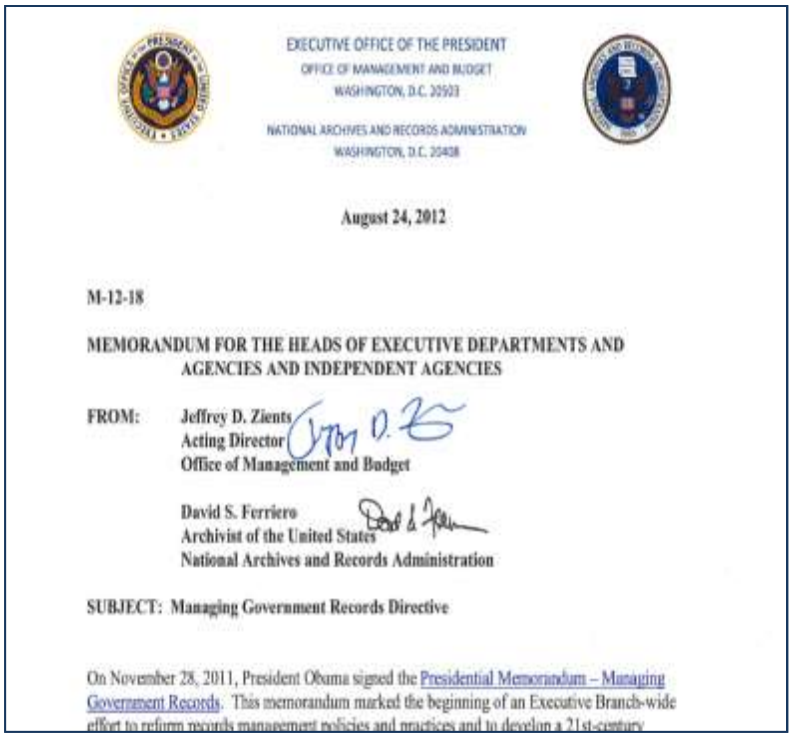
How Meeting M-12-18 Objectives Supports the Mission & Saves Money

Mark Mandel, CRM, CIP, BPM^{m}, ERM^{m}
Solution Architect, OpenText Public Sector Solutions

M-12-18 Deadlines

NARA/OMB M-12-18, the Managing Government Records Directive, has the following key deadlines for federal agencies:

- **Calendar Year 2016** – all Email must be managed electronically in a records management system – no more "print and file"
- **Calendar Year 2019** – all permanent records must be delivered to NARA in electronic format only



EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
WASHINGTON, D.C. 20408

August 24, 2012

M-12-18

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES AND INDEPENDENT AGENCIES

FROM: Jeffrey D. Zients
Acting Director
Office of Management and Budget

David S. Ferriero
Archivist of the United States
National Archives and Records Administration

SUBJECT: Managing Government Records Directive

On November 28, 2011, President Obama signed the Presidential Memorandum – Managing Government Records. This memorandum marked the beginning of an Executive Branch-wide effort to reform records management policies and practices and to develop a 21st-century

http://toolkit.archives.gov/records-mgmt/prmd.html

M-12-18
Stakeholders and End User Vision
"What's in it for me?"

Stakeholder

- **IT** – Optimize performance, reduce operating costs, support compliance
- **Records Managers** – Preserve documents consistently according to policy
- **Legal** – Support eDiscovery, FOIA, Privacy, and Congressional Inquiries, with chain of custody, 100% capture – defensible in the courts
- **End User** – Directly support agency operations and mission requirements



Email Solutions are Different for each Stakeholder

- IT based solutions may not have RM
- RM solutions may not be effective for Legal
- Legal solutions require full chain of custody, 100% capture of all email
- Don’t forget the end user and how email is used to support the mission!



Journaling

- Email Journaling is the only effective approach for meeting Legal requirements
- Journaling creates a separate copy of all incoming and outgoing email, and stores it in an archive that has limited access (Legal, RM, FOIA, etc.)
- Only one copy of each email is stored – single instance archiving or de-duplication
- User based actions such as copying and deleting do not have any effect on the journaled archive



Potential for Rework

- Mistakes some agencies have made include:
  - Cloud based email with no Records Management (RM)
  - Email RM with no Enterprise Records Repository
  - Generic email archiving with no RM
  - All of these initiatives above have to be reworked for 2019 – costing additional funding, time and resources



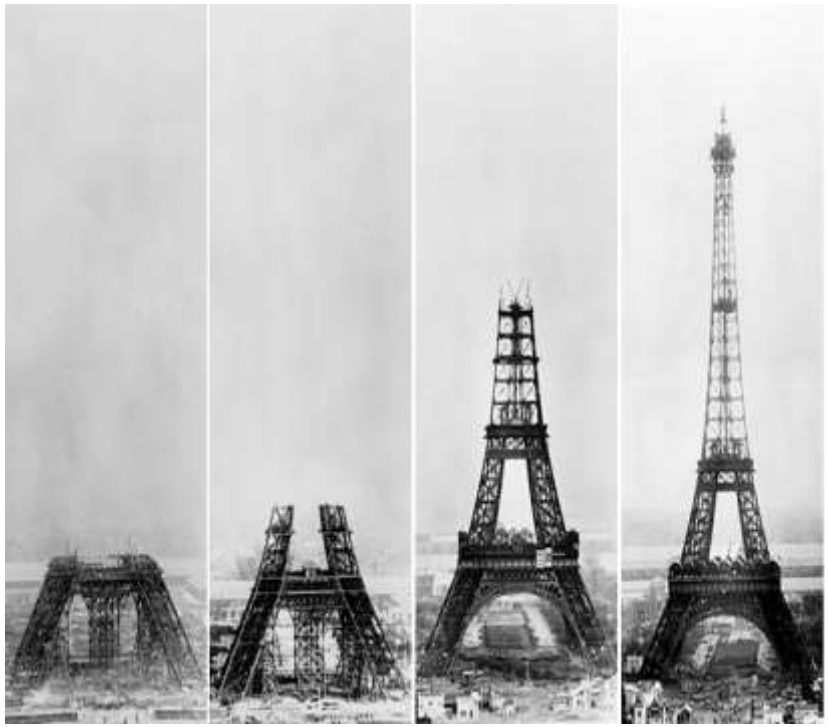
2016 to 2019 Roadmap

- In meeting the needs of the 2016 directive any agency or department must consider the context of the eventual 2019 end state
- A limited approach (i.e., email only) for 2016 will need to be reworked for 2019
- Recommended best practice is to evolve from 2016 building blocks that includes email journaling and records management - to a larger ECM goal for 2019



Phased Approach for Email

- A department or agency should consider beginning with Email Journaling as a major component of a 2019 ECM solution
- NARA Capstone classification guidance is recommended for ease of deployment; add Auto Classification as required for culling of non record material
- Deploy document management and records management for all content types to enhance the department or agency's goals for meeting the 2019 governmental deadline

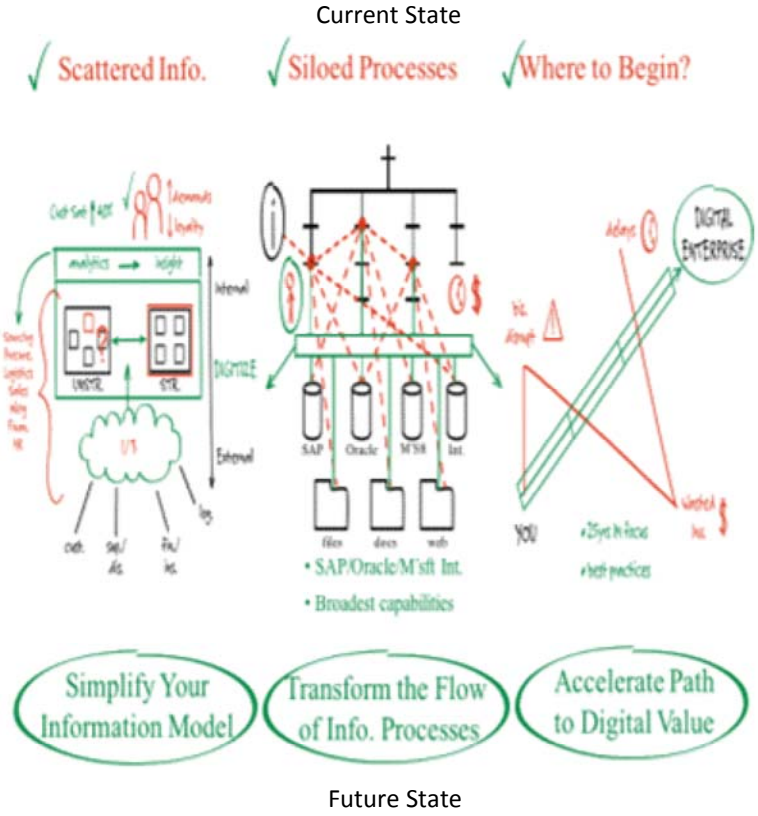


This is an optimized approach that does not require rework and gives you a road map for success

The Ideal 2019 Solution

Information Integration for the Enterprise

- Implement an Agency-Wide Enterprise Content and Records Management System
- Manage All Records Policy with One Integrated Electronic Records Management System
- Enterprise Repository
- Disaster Recovery Infrastructure, Cloud or Virtual Services
- Integration with Business Applications, Office Applications
- Records Management is Transparent to End Users
- Powerful document management includes advanced search tools, version control, and legal chain of custody
- Allows stakeholders and users to work in their native applications (Word, SAP, Outlook, SharePoint, etc.)



Best Practices for M-12-18

Keys to smooth RM implementation

- Modernized "Big Bucket" Records Schedule
- Simplified disposition process
- Records classification at time of capture or creation, transparent to user
- Search locates both electronic and physical records, place holds based on Search results
- COTS not custom, reduces time to delivery…
- All available in the cloud as a service, also reduces time to delivery



NARA Automation Plan

The NARA Automation Plan states:



"Although the Directive uses the term "records management" and this report inherits that language, NARA recognizes that **well-conceived automation can improve the management of all government information for a wide range of information governance purposes**. These include information security, privacy, eDiscovery, Freedom of Information Act (FOIA), and proactive disclosure of government information as part of open government and open data programs.

While records management is stressed here because of this report's origin in the Directive, **the greatest efficiencies and improvements in effectiveness will be achieved if agencies consider the automation of their information management in a holistic way.**"

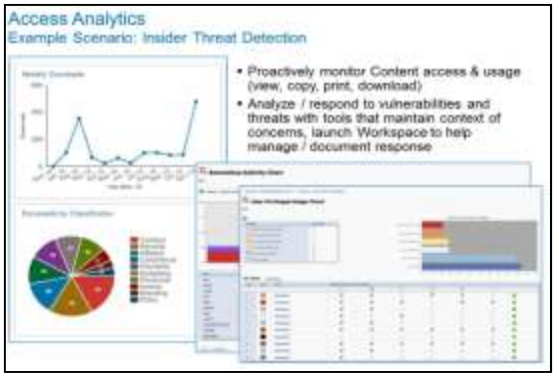
https://www.archives.gov/records-mgmt/prmd/automated-erm.html

CIO/CISO Directive Alignment

- Each department and agency has its own priorities
- These departments and agencies share priorities as illustrated in CIO.gov



- **Cybersecurity National Action Plan**
  - Move all network shares to a RM system – aligns with 2019 deadline

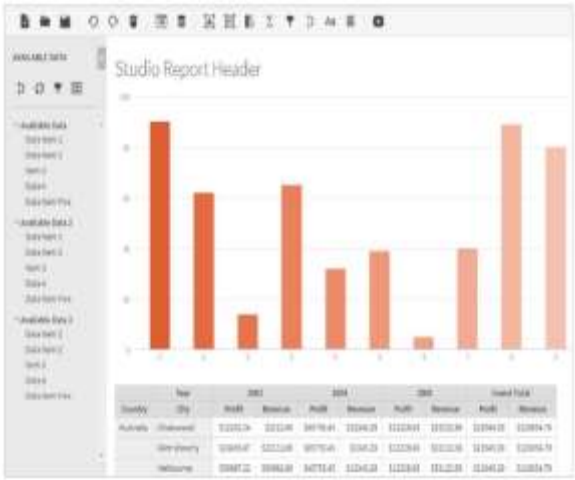


- **World Class Digital Services**
  - All-digital approach aligns with 2019 objective
- **Future Ready Workforce**
  - Information is available to support the mission, compliance is a byproduct

Keys to Potential Cost Savings & Improved Mission Support

- Better Project Team Collaboration and Coordination
- Quicker Secure Access to All Past and Current Shared Information
- Improved Portfolio Management; Inter and Intra Agency
- Adaptive/Predictive Analytics for Informed Business Decisions





Information Lifecycle to Support Agency Mission



Capture

Index
Store
Secure
RM Classification

Document Management

Records Management

BPM

Enterprise Repository

Advanced Search

Collections

Legal Holds

Collaboration

Mobile

Social

SAP

ORACLE

CGI

API/Web Services/Rest Migration

Legacy Databases
XML
Other ECM Systems
Case Management
Grants Management





Analytics for Mission Support

FOIA.GOV





GAO



AXCELERATE

Powering discovery with analytics

- Complete solution for ECA, ingestion, review, analysis, redaction, and production
- Advanced analytics and Smart Filters to quickly pinpoint critical data
- Predictive Coding learns from user decisions to prioritize the most important documents



eDiscovery

END TO END APPLICATION INTEGRATION IS VITAL TO IMPROVE BUSINESS AND MISSION SUPPORT PROCESSES

Records Management Automation

- Document Type Default Classification
- Folder Classification Inheritance
- Process Based Classification
- Role Based Classification
- Auto Classification
- Capstone

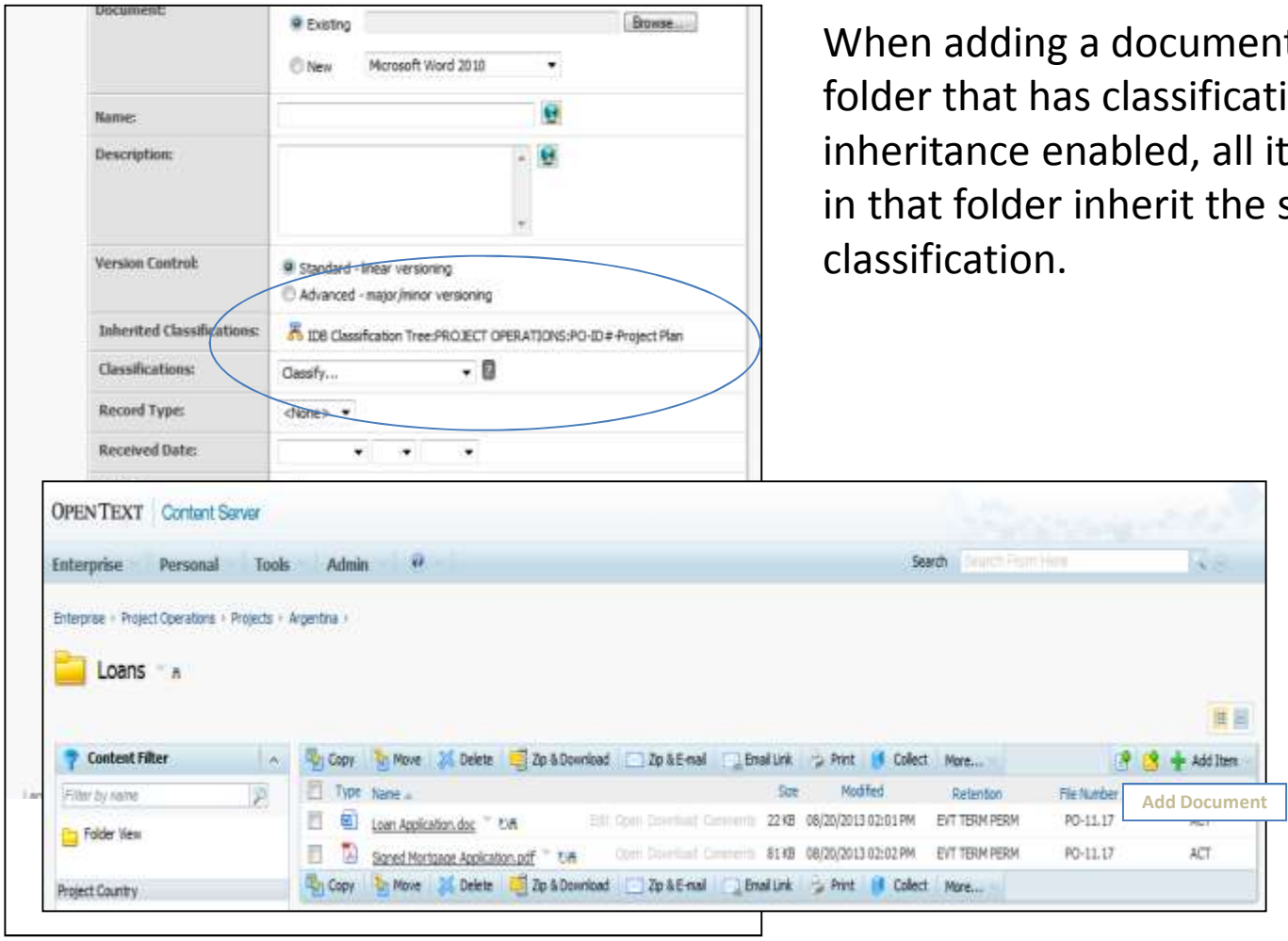


Document Type Default

- Contract = Administrative = 7 years
- Annual Budget = Policy = Permanent
- Grant Award = Administrative = 7 years
- “Big Bucket” Records Schedule

ACCOUNTING DOCUMENT
COMPASS INTERFACE
CUSTOMER INVOICE
CUSTOMER PMT
PO's - FRAMEWORK
VENDOR INV REVERSAL
VENDOR CREDIT MEMO
NON PO INVOICE
ML SETTLEMENT
PO's - STANDARD
CURRENT YR REQUISITION
NEXT FISCAL YR REQUISITIONS
PAYROLL POSTING
INTERIM PAYROLL POSTING
PO INVOICE
RECURRING ENTRY DOC
G/L ACCOUNT DOC- JE
STOCK TRANSPORT
PAYROLL POSTING - 3RD PARTY
GOODS ISSUE
GOODS RECEIPT
INVENTORY DOC
SAP VALUE CONTRACT
GOODS DELIVERY
PCARD CLEARING
EBS POSTING
CO POSTINGS
SYMPRO INTERFACE
PMT POSTING
CHECK#
ACH PMT#

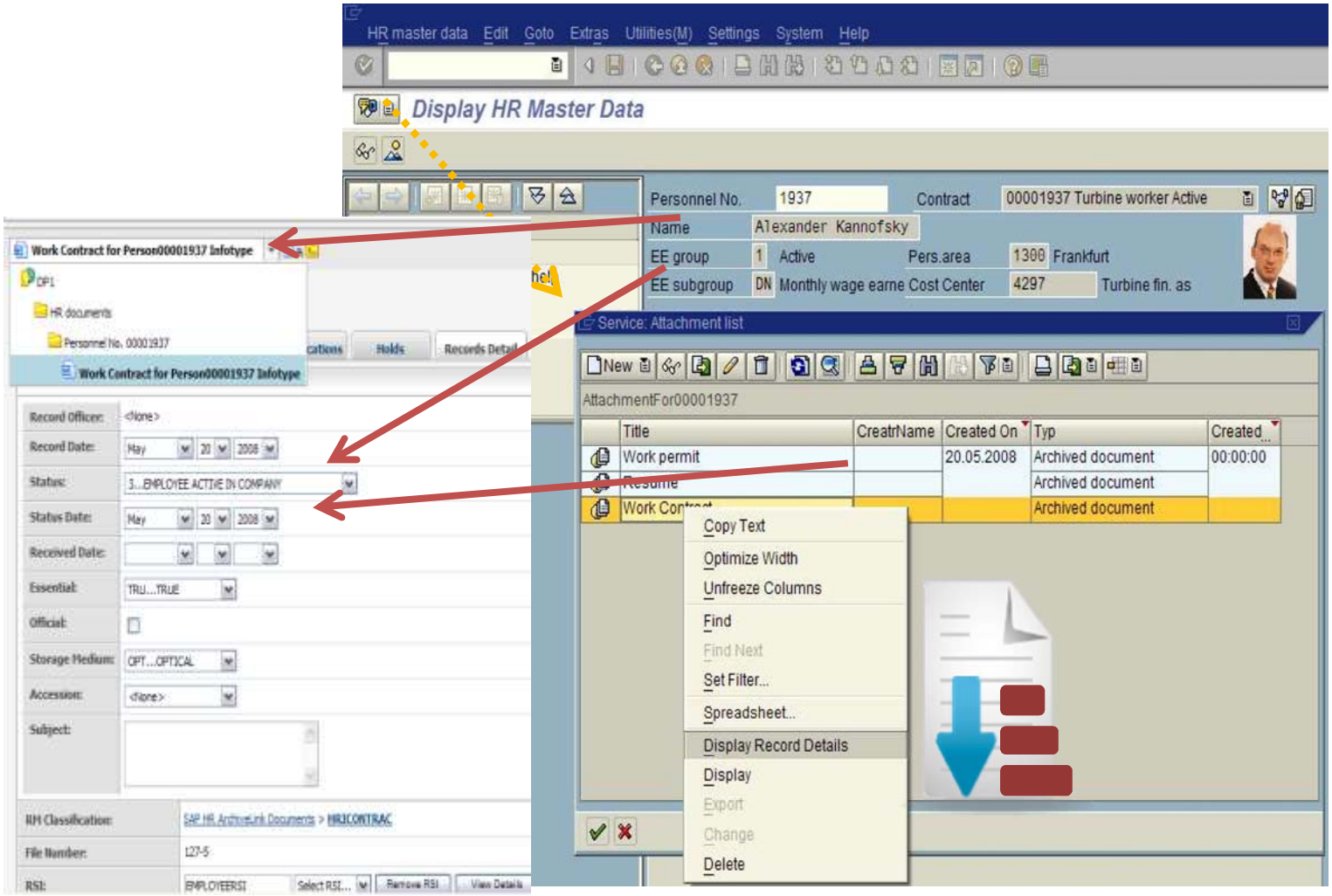
Folder Classification Inheritance



When adding a document to a folder that has classification inheritance enabled, all items in that folder inherit the same classification.

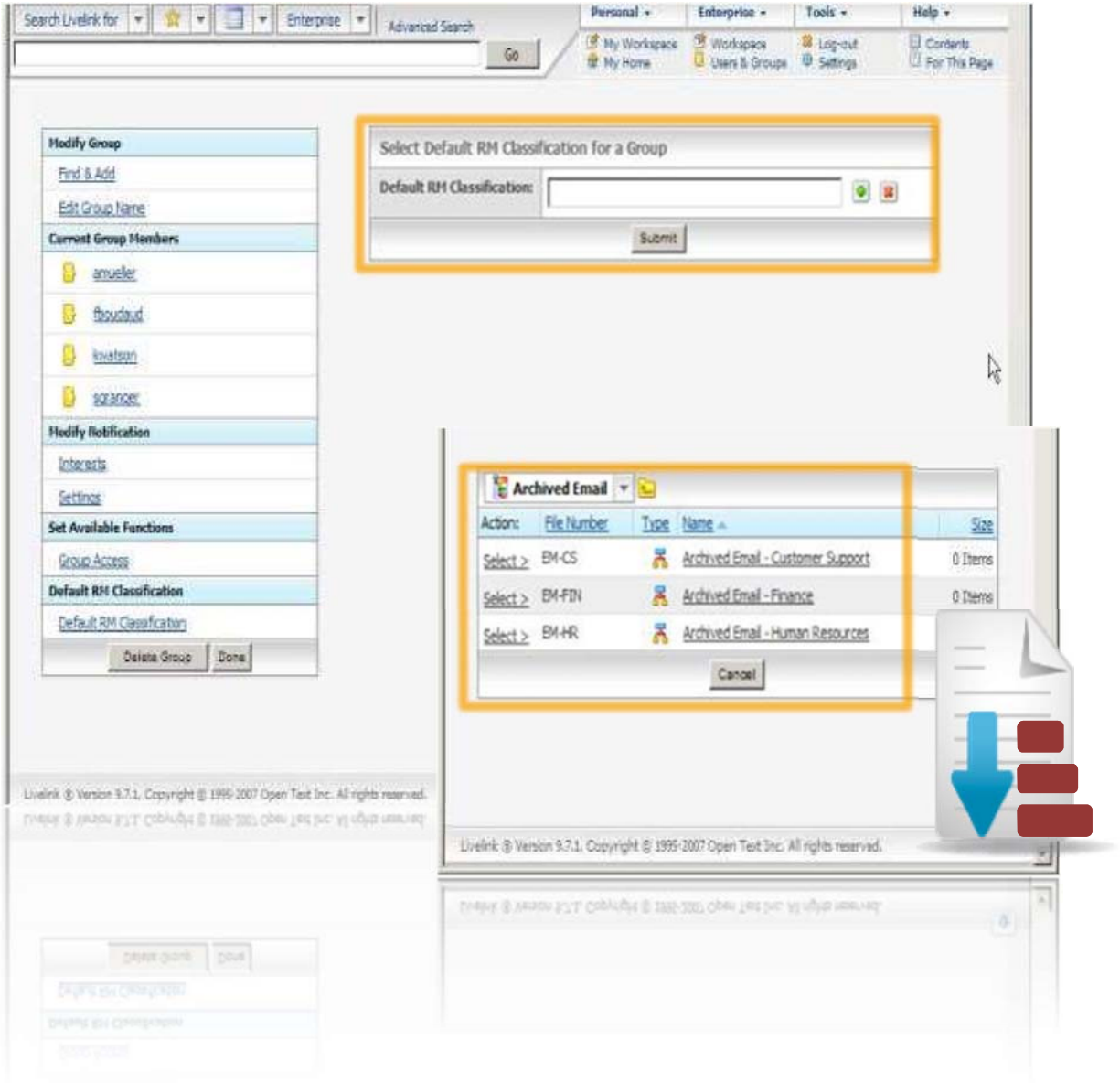
Process Driven Classification

Documents can be classified as part of a business process



Role-based Classification

Documents can be classified according to the group to which the user belongs

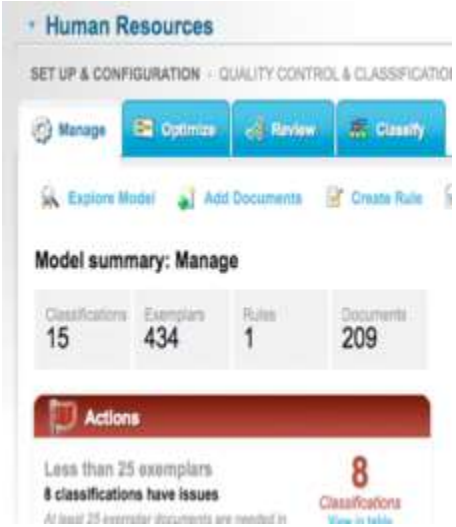


Auto-Classification

Automatically classify high volume, low-touch records such as E-mail and file system content.

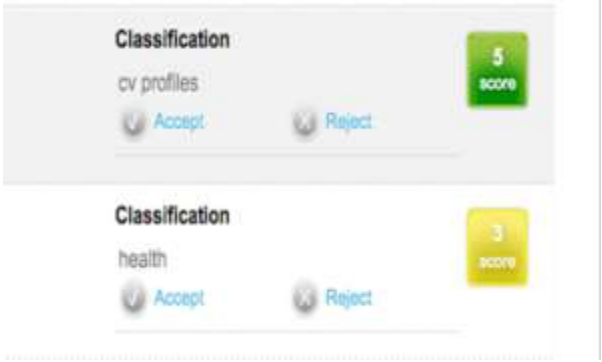
Transparent

Step-by-step tuning guide and feedback



Defensible

Built-in statistical sampling and quality assurance



Capstone

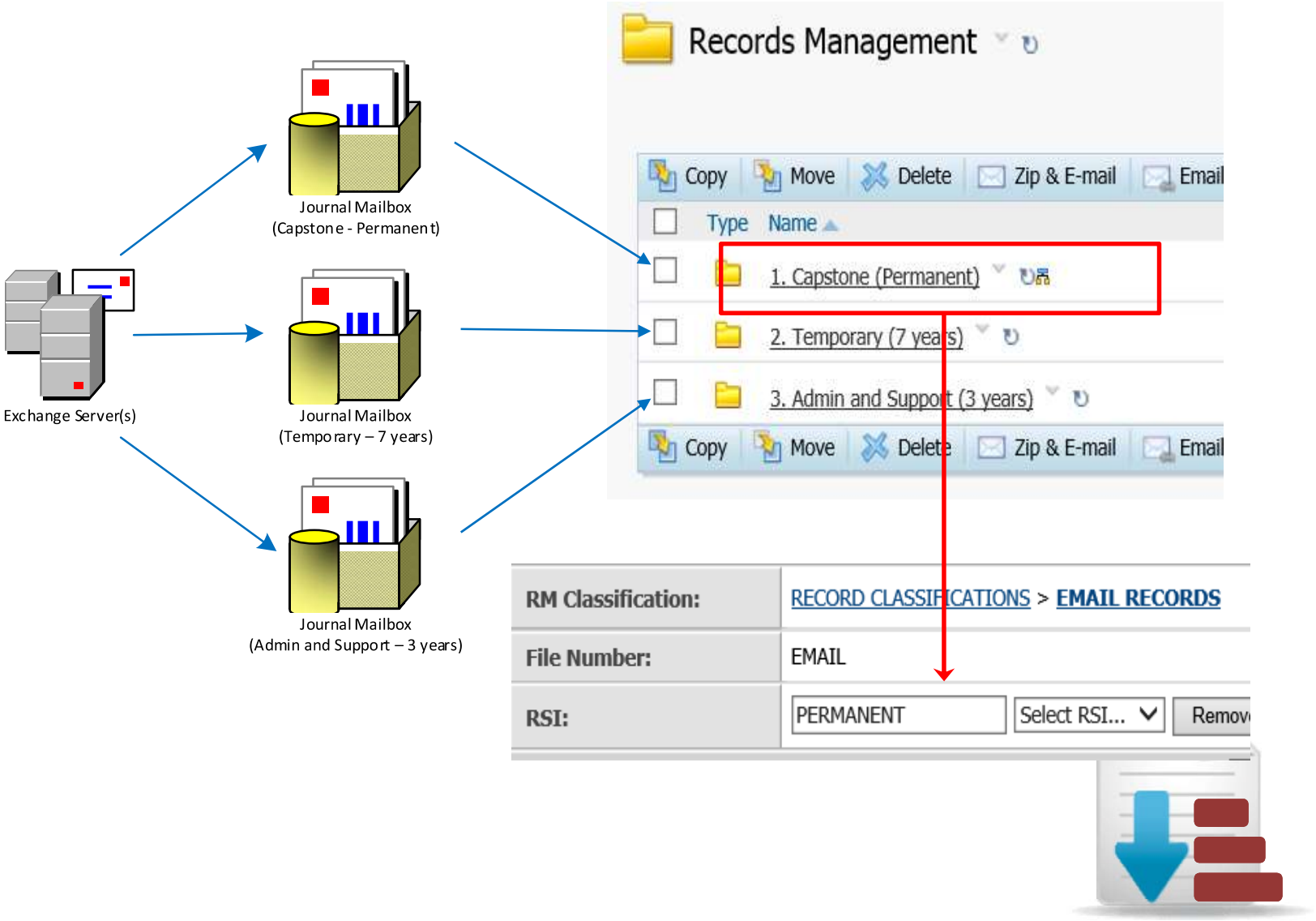


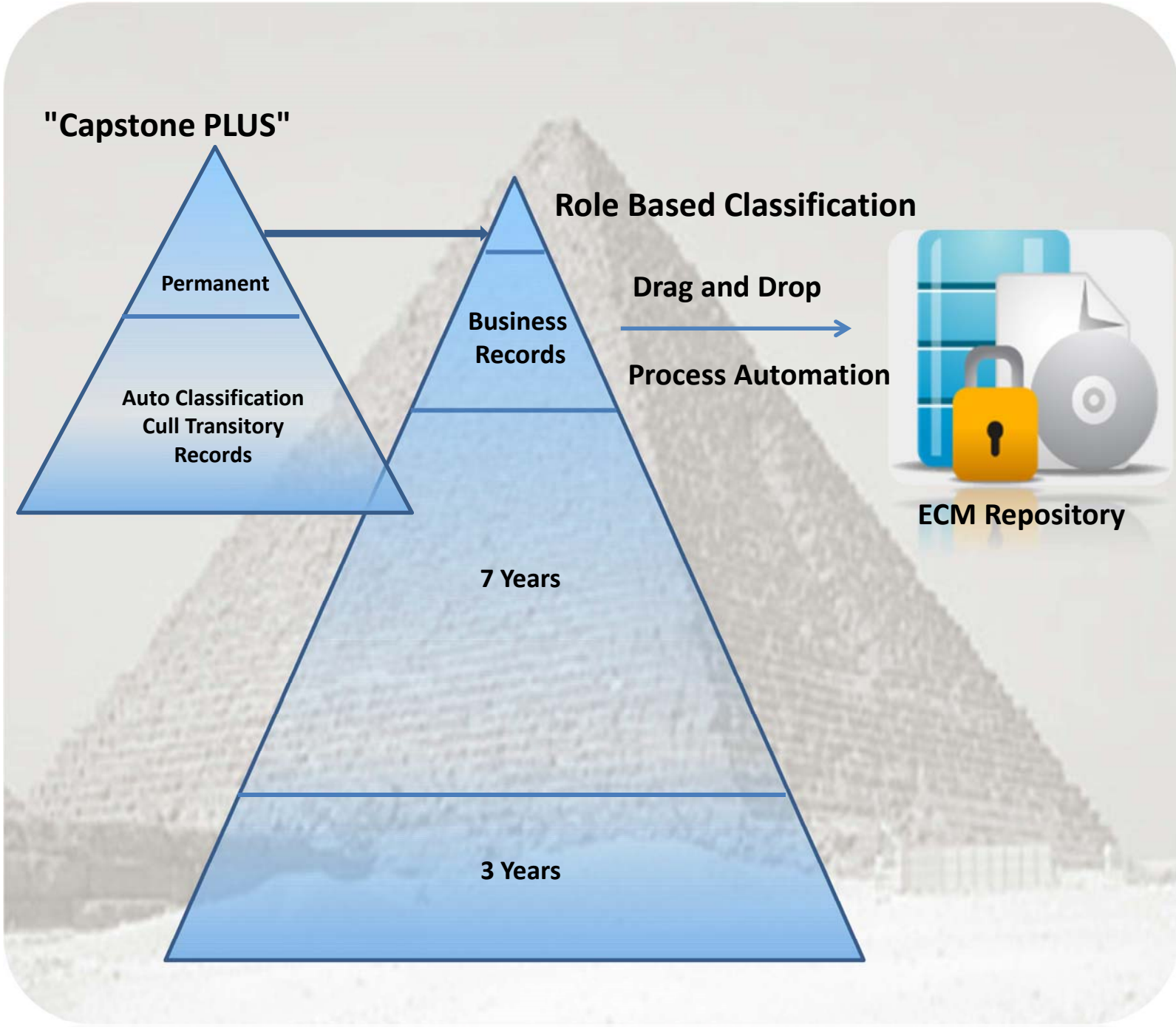
- New NARA Guidance
- All Email to and from Key Individuals are Saved Permanently

- Potential Issues with this Approach
  - Over Classification of Email as Permanent
  - Possibility of Permanent Records in Non-Capstone Email
  - Records Policy Should be Media Neutral and Consistent for all Records

Start by Addressing Email: Role Based Classification

Capstone categorization through Email Monitoring




"Capstone PLUS"
Permanent
Auto Classification
Cull Transitory
Records
Role Based Classification
Business
Records
7 Years
3 Years
Drag and Drop
Process Automation
ECM Repository

5015.02-STD Demystified

- **Baseline certification**
  - Chapter 2, Mandatory Requirements
  - Chapter 5, Transfers
- **Classified - Chapter 3 is Management of Classified Records**
- **FOIA/PA - Chapter 4 is Managing Records for the Privacy Act and the Freedom of Information Act**
  - The Joint Interoperability Test Command (JITC) provides a list of certified products.
  - DoD organizations may only purchase records management products that are on this list

http://jitc.fhu.disa.mil/projects/rma/reg.aspx

Vendor	Product	Valid Thru	Baseline	Classified	FOIA & PA	RMA OS	RMA DB	RMA Email
+ Open Text Corporation	OpenText Records Management	Perpetual	X	X	X	MS Windows Server	MS SQL Server, Oracle	MS Outlook

5015.02-STD

This should be a requirement in your enterprise architecture.

Why?

- It sets metadata standards for all records
- It defines the best methodology for destruction of electronic records at the end of their lifecycle
- It provides a standard approach for transfer of records from one agency to another, and for transfer from an agency to NARA
- It defines requirements for classified records
- It defines requirements for FOIA and Privacy Act solutions

This approach promotes consistency across all agencies and NARA

Key Benefits from M-12-18

- Elimination/reduction of paper storage costs and supporting resources
- Elimination/reduction of duplicate copies of records
- Consolidation of redundant electronic recordkeeping systems
- Vastly improved search capability
- Audit of all actions
- Legal holds, Collections
- Support for FOIA, Privacy, eDiscovery, Audit, and Congressional Inquiries
- Alignment with key Agency priorities:
  - Cyber Security
  - Audit Readiness
  - Future Ready Workforce
  - World Class Digital Services
  - Open Government



Opportunities for Cost Savings

1. Paper filing and storage
2. Shorter cycle times for transactions
3. FOIA and eDiscovery
4. Audits
5. Search
6. Collaboration
7. Analytics
8. Elimination of overlapping systems

1. Eliminate leased buildings, less staff time for managing file rooms, recovery of office space
2. Move to online forms vs. paper, constituent self service
3. Less time for discovery, potential to reduce adverse judgements
4. Full audit trail of all transactions, less time to locate requested info
5. No more “out of file” or missing documents, increased productivity
6. Optimized tools for supporting project teams; version control, document sharing, discussions
7. Tools for evaluating information to support decision making
8. Migration of multiple Email, ECM or RM systems into one enterprise system



Summary

- An Email-only approach may need to be reworked in just a few years
- Focus on 2019 ensures compliance with both 2016 and 2019
- The 2019 solution enhances and compliments other key agency priorities
- System cost is quickly recovered through savings in operational costs, potential for significant additional savings



Questions?



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