Program Overview

December 3, 2013

Presented to the FIRM Council

U.S. Department of the Interior
Agenda

- Program Introduction
  - Our Approach
  - Schedules and Auto Classification
  - Integration and Migration
  - eForms
  - Challenges, Lessons Learned and the Future
The U.S. Department of the Interior protects America’s natural resources and heritage, honors our cultures and tribal communities, and supplies the energy to power our future.

- Cabinet-level agency with 14 Bureaus and Offices that manages:
  - ~80,000 employees plus 280,000 volunteers
  - $16.8B operating budget
  - 500 million acres of surface land
  - 479 dams and 348 reservoirs
  - 30% of the nation's energy production
  - 55,000 different maps each year
  - ~500 million recreational and cultural visitors
  - 1 in 5 acres of land managed
We have a structured IT Transformation program

- Alignment under a single CIO
- Defined outcomes
  - Shift focus to Cloud First
  - Bureaus buy services instead of infrastructure
  - Meet or exceed expectations for reliability, accessibility and availability
- $500 million savings over 10 years
- High priority service areas for immediate modernization
- eERDMS is one of the CIO’s high priority areas
Centralizing information governance is logical

- Centralize all records management functions
- Shift information management to cloud first
- Provide centralized information governance for
  - Departmental Records Offices;
  - The Office of the Solicitor;
  - The Office of the Executive Secretariat;
  - The Office of the Inspector General;
  - The Office of Cybercrimes;
  - The Office of Freedom of Information Act;
  - The Office of Ethics; and
  - Congressional and Administrative Record
Agenda

- Program Introduction

- **Our Approach**
  - Schedules and Auto Classification
  - Integration and Migration
  - eForms
  - Challenges, Lessons Learned and the Future
Our well-defined vision guides the program

Provide the Department of the Interior with a single cohesive integrated information management program designed to manage records and documents for its missions and programs to ensure public trust and transparency.
Our approach to realize our vision

1. Identify existing records schedules
2. Align schedules and LOBs to mission
3. Crosswalk records schedules to LOBs
4. Incorporate auto-class for electronic records
5. Prepare a DRS that aligns with LOBs
6. Simplify records schedules
7. Fully integrate with all record media
8. Incorporate RM practices into IL and/or SDL
We created a cloud environment

- **CAPTURE**
- **STORE / MANAGE / PRESERVE**
- **DELIVER**

**Enterprise eArchive System (EES)**
- EMAIL JOURNALING

**Enterprise Content System (ECS)**
- AUTO & MANUAL CLASSIFICATION
- INDEXING
- DOCUMENT MANAGEMENT
- RECORDS MANAGEMENT
- COLLABORATION & WORKFLOW
- CASE MANAGEMENT
- EARLY CASE ASSESSMENT/eDISCOVERY

**Enterprise Dashboard System (EDS)**

**FISMA Moderate Cloud**

**Human Created Information**
- Google Docs
- Gmail
- Adobe
- eForms
- Adobe
- Microsoft Word
- PowerPoint
- Excel
- XML
- Legacy Document Systems
- ERP Systems
- Financial

**System Information**

**NARA**

**Litigation**

**End Users**

**MANDATED OUTPUT**

**INPUT**

**API or MIGRATION**

**Sensitive but Unclassified – For Official Use Only**

12/4/2013

U.S. Department of the Interior
500,000 Sq Ft of Planned Raised Floor
Multiple Distinct Data Center Buildings
(Current Basis of Design)

Office Space
Multi-layered security

Committed to provide the highest level of security from the property perimeter to the data center floor

Secure Campus
- 500 foot setback to all buildings
- K-8 rated fencing (K-12 capable)
- Hardened, visitor screening facility with ballistic resistant fiberglass panels (Ballistic Level 3)
- Defense anti-terrorism force protection with focus on TIA 942 and FISMA guideline fulfillment
- FISMA Low through TS/SCI SCIF
- Armed security officers
- Metal detection devices
- X-ray scanning instruments
- Delta vehicle barriers

Internal Security
- Central command center staffed 24x7x365 with roving guard force
- Security monitoring with video surveillance and security cameras
- Pedestrian turnstiles and badge reader systems separate common areas from datacenter space
- Biometric access through Man-Traps for datacenter areas (card/fingerprint & retina)
- Badge-in/badge-out security process, Vehicle Inspections
- 100+ CCTV cameras
- Secure shipping and receiving docks
Our lifecycle management in eERDMS

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<tr>
<th>CAPTURE</th>
<th>STORE</th>
<th>MANAGE</th>
<th>PRESERVE</th>
<th>DELIVER</th>
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<tr>
<td>Auto-Classification</td>
<td>Content Lifecycle Management</td>
<td>Records &amp; Document Management</td>
<td>Archiving Solutions</td>
<td>Enterprise Search</td>
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<td>Multi-Functional Device Scanning</td>
<td>Library Services</td>
<td>Workspaces</td>
<td>Integration Center for Data Archiving</td>
<td>Correspondence Tracking</td>
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<td>Document Imaging</td>
<td>Repository</td>
<td>Legal Document Management</td>
<td>Archiving for SAP® and SharePoint®</td>
<td>National Shredding Program</td>
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<td>Managed File Transfer</td>
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<td>Business Process Management</td>
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<td>Capture Center</td>
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<td>Collaboration/Workflow including Mobile Devices</td>
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<td>Social Network Content Capture</td>
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<td>Enterprise Dashboards</td>
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<td>Social Media Mobile Device Capture</td>
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<td>Auditing</td>
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<td>National Digitization Program</td>
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<td>Migration Services</td>
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<td>eFax/eForms</td>
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<td>Early/Advanced Early Case Assessment &amp; Review</td>
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<td>Email Management</td>
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Blue text denotes optional products and services
eERDMS status

- Digitizing millions of Indian trust records;
- Preparing for 100 million paper objects annually
- 800 million+ emails and attachments each year
- 1.6B+ indexed emails
- 30+ terabytes electronic content sent each year
- Preparing for an Exabyte of electronic content

- Providing support for FOIA, Congressional, Administrative Records, Ethics, Solicitor, and Inspector General requests
- Addressing all of M-12-18 and M-13-13
Agenda

- Program Introduction
- Our Approach
- **Schedules and Auto Classification**
- Integration and Migration
- eForms
- Challenges, Lessons Learned and the Future
We use three classification strategies

- **Intelligent Classification**

- **Auto-Classification**

- **Structured Workflow Driven Automation**

- **Manual**

The diagram illustrates the relationship between volume, risk of misclassification, and the classification strategies.
Auto-classification starts with a consolidated schedule

200 schedules / 2330 retention periods

Individual Bureau Schedules

1 schedule with 37 lines of business having 189 retention periods

Departmental Records Schedule
Our consolidated schedule is organized in 4 big buckets

1. Mission - 26 lines of business organized by DOI strategic goals
   - Provide natural and cultural resource protection
   - Manage energy, water, and natural resources
   - Relationships with Indian Nations
   - Scientific foundation for decision making
   - Building a 21st Century DOI

2. Administrative
   - Administration
   - Finance & Acquisition
   - Information Technology

3. Policy
   - Controls & Oversight
   - Judicial & Legislative Activities
   - Regulatory Development

4. Legal, Regulatory Compliance, and Enforcement
   - Intelligence Operations
   - Investigations & Audits
   - Law Enforcement
   - Litigation & Adjudications
How does our auto-classification work?

1. New Record
2. Semantic Contents
3. Decision Algorithm
4. Model of Exemplars
5. Similar Exemplars List
6. Line of Business & Retention Period
We collect exemplars to build an OTAC model

AUTO-CLASSIFICATION FOCUS IS ON EMAIL NOW

Collect exemplars from bureaus (200 per LOB retention node)

OTAC Training (Auto-Classification) – includes scheduling and planning

Building and tuning OTAC model

Ongoing fine tuning of OTAC model

We are implementing multiple models

OpenText Auto Classification = OTAC
Auto-classification and event-driven retention

- In order to impose automation on event-driven retention processes
  - Assign a year (i.e. 10 years from creation) so that the system notifies you that a retention period may have been met
  - System retention notices serve as a tickler to the Records Manager to further investigate this record group’s disposition
  - Coordinate with the records’ originating Program Office and Legal staff to determine the actual date of closure and the retention period
  - Process may have to be repeated for especially long business process cycles (i.e. dam construction – checking status every 10 years)

- Consolidate event-driven retentions supporting a single business function whenever possible

- As business processes are automated, fewer individual event-driven retention periods should be necessary
Documents are “tagged” with holds

- Each hold can be separate from other holds
- Documents inherit longest hold
- Auto-classification and automated searches can be applied
- Front-end and back-end services remain available
OpenText Auto-Classification (OTAC)
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New/System migration planning has just begun

- **Migration**
  - 2 Doc/Records Systems
  - 2 Indexing Systems
  - 4 Legacy eMail Systems
  - 2 Business Systems
  - 1 Legacy eMail System

- **Integration**
  - 1 Business System
  - 2 Doc / Records Systems

- **New Project**
  - 3 Business Systems
  - 3 Business Systems
  - 1 Business System
  - 1 Digitization Project
  - 1 Business Workflow System
  - 1 Business System

- **Discovery**
- **Analysis & Estimation**
- **Go / No-Go**
- **Design & Implement**
- **Production Rollout**
  (includes user training & developing SOP)

Status as of Nov 15, 2013

U.S. Department of the Interior

12/4/2013
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Yesterday’s forms environment

- Decentralized forms management
- Lack of enterprise controls on how many forms are created and released
- Different organizations create forms for same business process
- Lack of tracking of data
- Manual validation of form data
- Lack of support for mobile workforce
- Forms processing delays; including lost forms

...Leading to a high cost of forms management
What does eForms do for forms management?

- Establishes a single web accessible portal for all forms
- Consolidates and automates bureau forms
- Identifies common repeatable workflow processes
  - Notifications via email
- Provides automated processes for Department and public users
- Ability for online, offline and mobile forms processing
- Automated records disposition
- Ability to view business trend analysis and processing metrics
# eForms format capabilities

<table>
<thead>
<tr>
<th>Capabilities</th>
<th>HTML5 Web Form</th>
<th>Electronic PDF</th>
<th>Printable PDF (Print and fill out)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mobile Supported</td>
<td>✔️</td>
<td>×</td>
<td>×</td>
</tr>
<tr>
<td>Field Level Data Validation</td>
<td>✔️</td>
<td>✔️</td>
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<tr>
<td>Logic Based Business Rules</td>
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<td>✔️</td>
<td>×</td>
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<tr>
<td>Collapsible Sections</td>
<td>✔️</td>
<td>✔️</td>
<td>×</td>
</tr>
<tr>
<td>Built In Navigation (Wizard Style)</td>
<td>✔️</td>
<td>✔️</td>
<td>×</td>
</tr>
<tr>
<td>Save and Return</td>
<td>✔️</td>
<td>✔️</td>
<td>×</td>
</tr>
<tr>
<td>Electronic Signatures</td>
<td>✔️</td>
<td>✔️</td>
<td>×</td>
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<tr>
<td>In-line Help Text</td>
<td>✔️</td>
<td>✔️</td>
<td>×</td>
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<tr>
<td>Electronically Attached Files</td>
<td>✔️</td>
<td>✔️</td>
<td>×</td>
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<tr>
<td>Track Form Usage Metrics</td>
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<td>✔️</td>
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<tr>
<td>Electronic Submission</td>
<td>✔️</td>
<td>✔️</td>
<td>×</td>
</tr>
<tr>
<td>Manual Submission (Fax or Mail)</td>
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<td>✔️</td>
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<tr>
<td>Wet Signature</td>
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<td>✔️</td>
</tr>
</tbody>
</table>

- **Fully Capable**
- **Partially Capable**
- **Not Capable**
### Report Title vs. Data Reported

<table>
<thead>
<tr>
<th>Report Title</th>
<th>Data Reported</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Bureau Operational Summary</strong></td>
<td>Provides an overview of transactions for a specific bureau</td>
</tr>
<tr>
<td><strong>Operational Summary</strong></td>
<td>Provides an overview of transactions for all bureaus</td>
</tr>
<tr>
<td><strong>Bureau Transaction Report</strong></td>
<td>Provides transaction statistics for a bureau, broken down by day and month</td>
</tr>
<tr>
<td><strong>Transaction Report</strong></td>
<td>Provides transaction statistics, broken down by day and month</td>
</tr>
</tbody>
</table>

![Average Time to Complete Form](image1)

![Submission Trend Chart](image2)
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- Challenges, Lessons Learned and the Future
No system is without its challenges

- Gaining leadership support and funding
  - DOI has a decentralized management structure
  - Use WIIFM (“What’s in it for me?”)
- Adapting to a new Department-wide email (Gmail) 6 months into implementation
- Managing DOI requirements within a COTS environment
- Capturing 2-3 million emails a day plus attachments
- Continuously identifying transitory and ultra-transitory
- Implementing a centralized system in a decentralized organization
- Supporting seasonal growth and national events
Lessons learned so far

- Communicate constantly in terms “they” understand
  - To management, users, system admin, vendor partners, etc.
  - Need to present the big picture to all stakeholders and present changes in stages

- Designate a full-time change management / communication champion

- Manage user expectations and scope creep

- Establish a strong implementation team

- Plan for the long term with iterative steps
We are in constant motion...

- Capture and manage litigation holds
- Develop automated processes for records capture, litigation holds, preservation, and attorney support
- Centralize all Bureaus’ records programs
- Migrate legacy content management systems
- Convert and automate over 20,000 forms
- Integrate 1,700 mission dashboards
- Provide continuous training and communication and outreach
- Support mobile platforms
Questions?

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