



eMail Enterprise Records and Document Management System
(eERDMS)
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



Our agency mission

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



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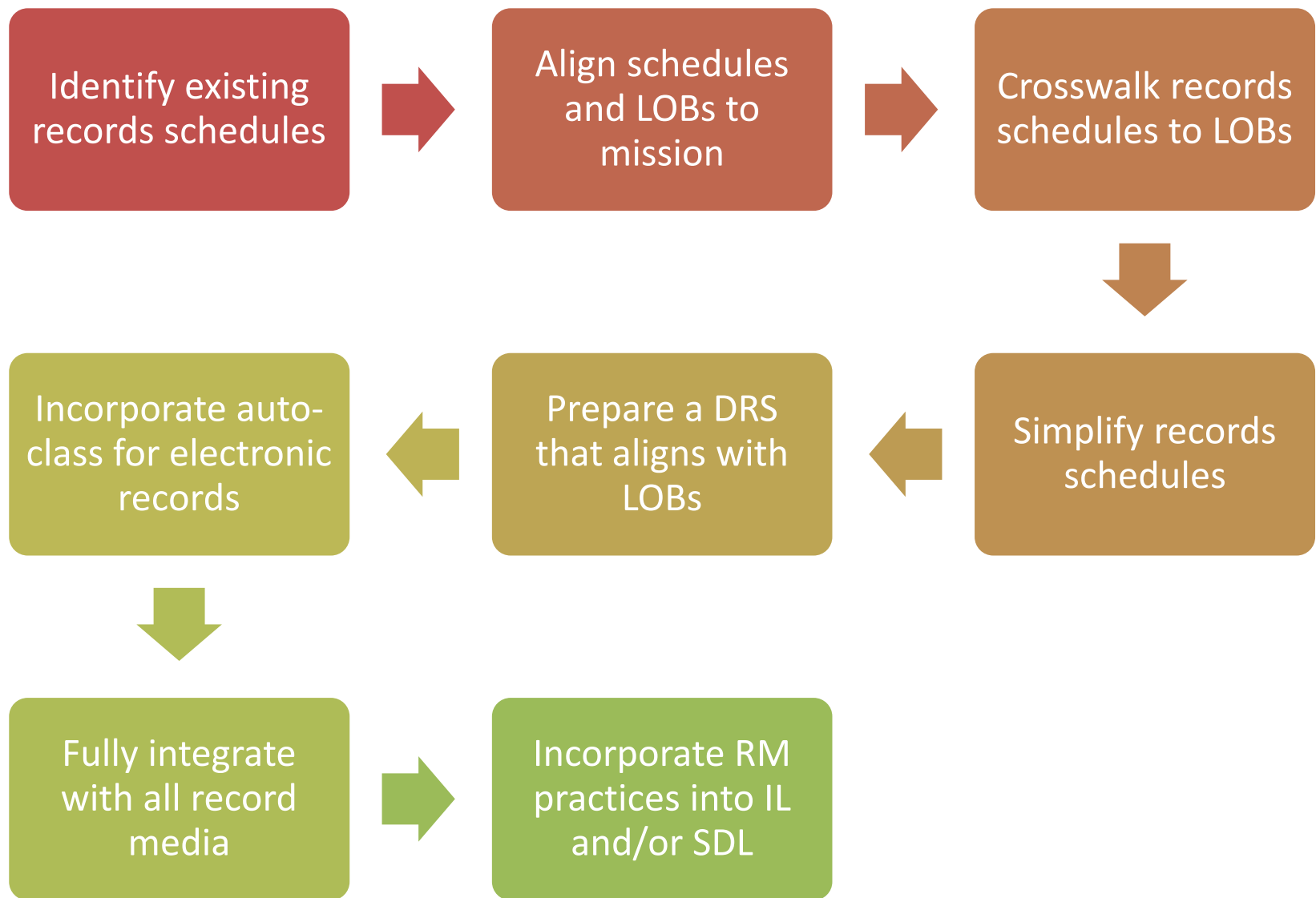


Our well-defined vision guides the program

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



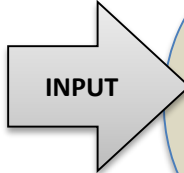
We created a cloud environment

CAPTURE

STORE / MANAGE / PRESERVE

DELIVER

Human Created Information



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)



Freedom OF Information ACT

NARA



Litigation



FISMA Moderate Cloud

System Information

XML Legacy Document Systems

ERP Systems Financial



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

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

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

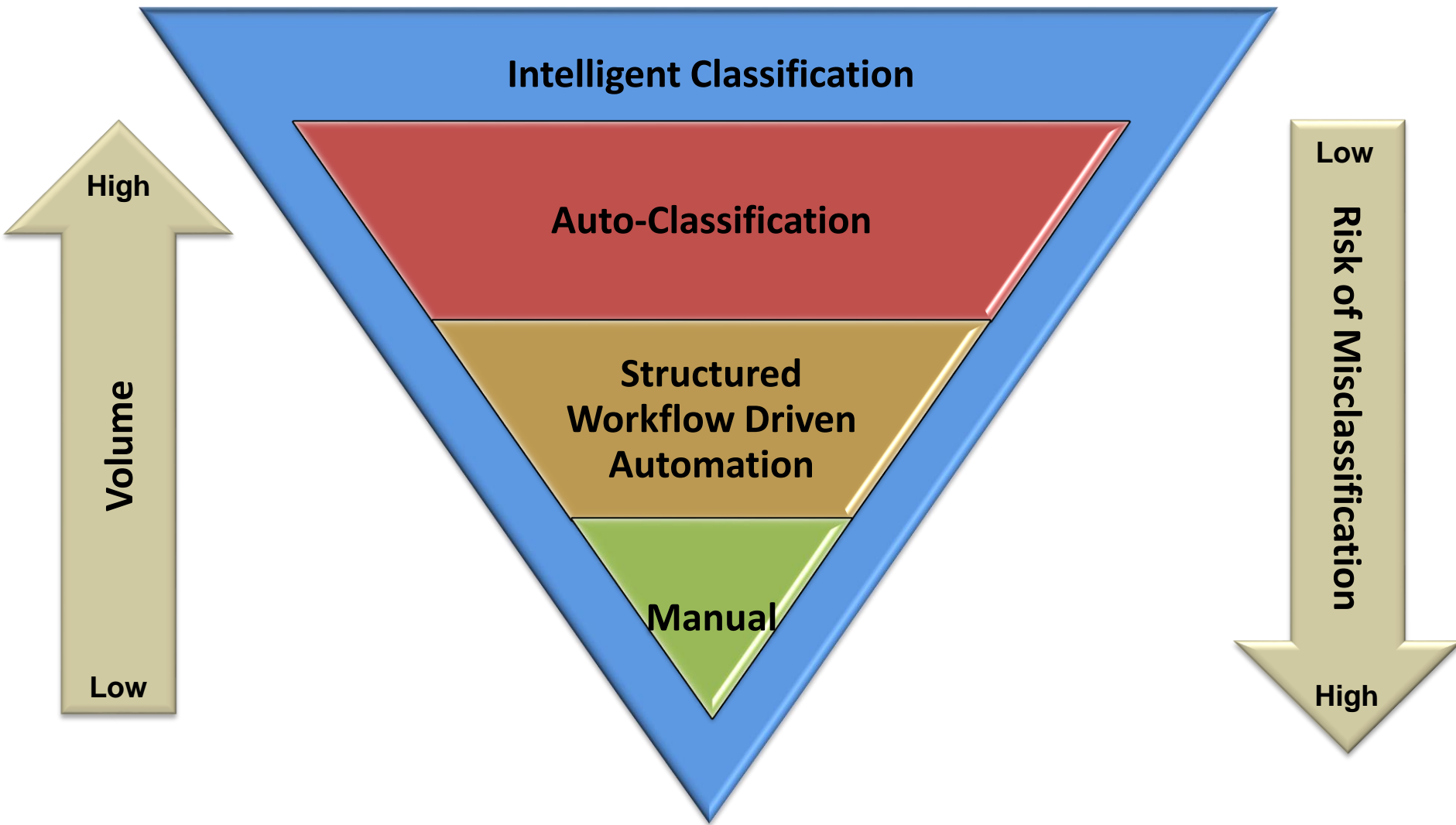
- Providing support for FOIA, Congressional, Administrative Records, Ethics, Solicitor, and Inspector General requests
- Addressing all of M-12-18 and M-13-13

Agenda

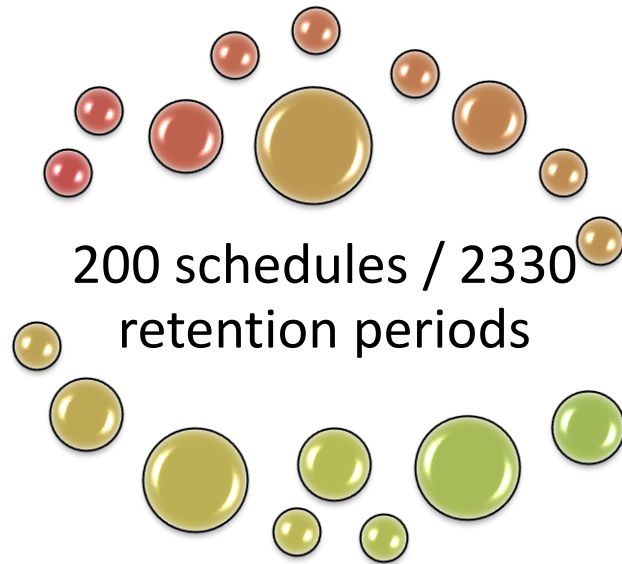
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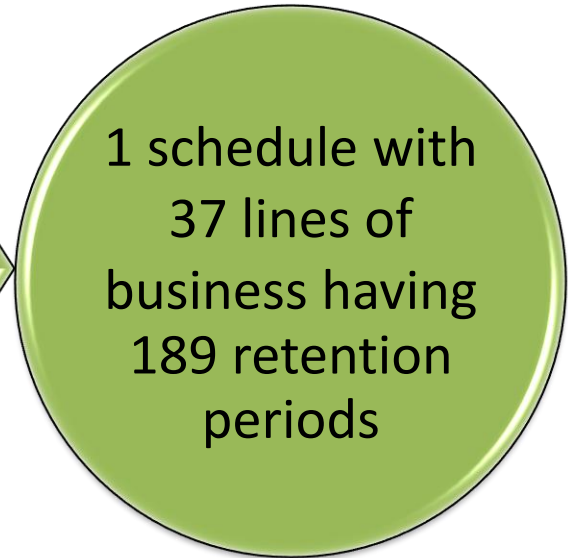
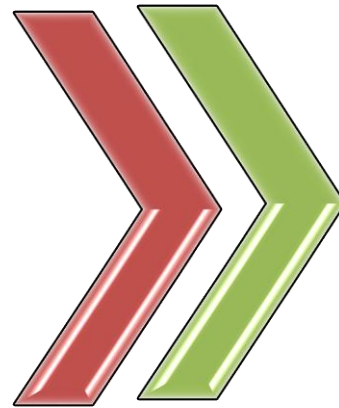
We use three classification strategies



Auto-classification starts with a consolidated schedule



Individual
Bureau
Schedules



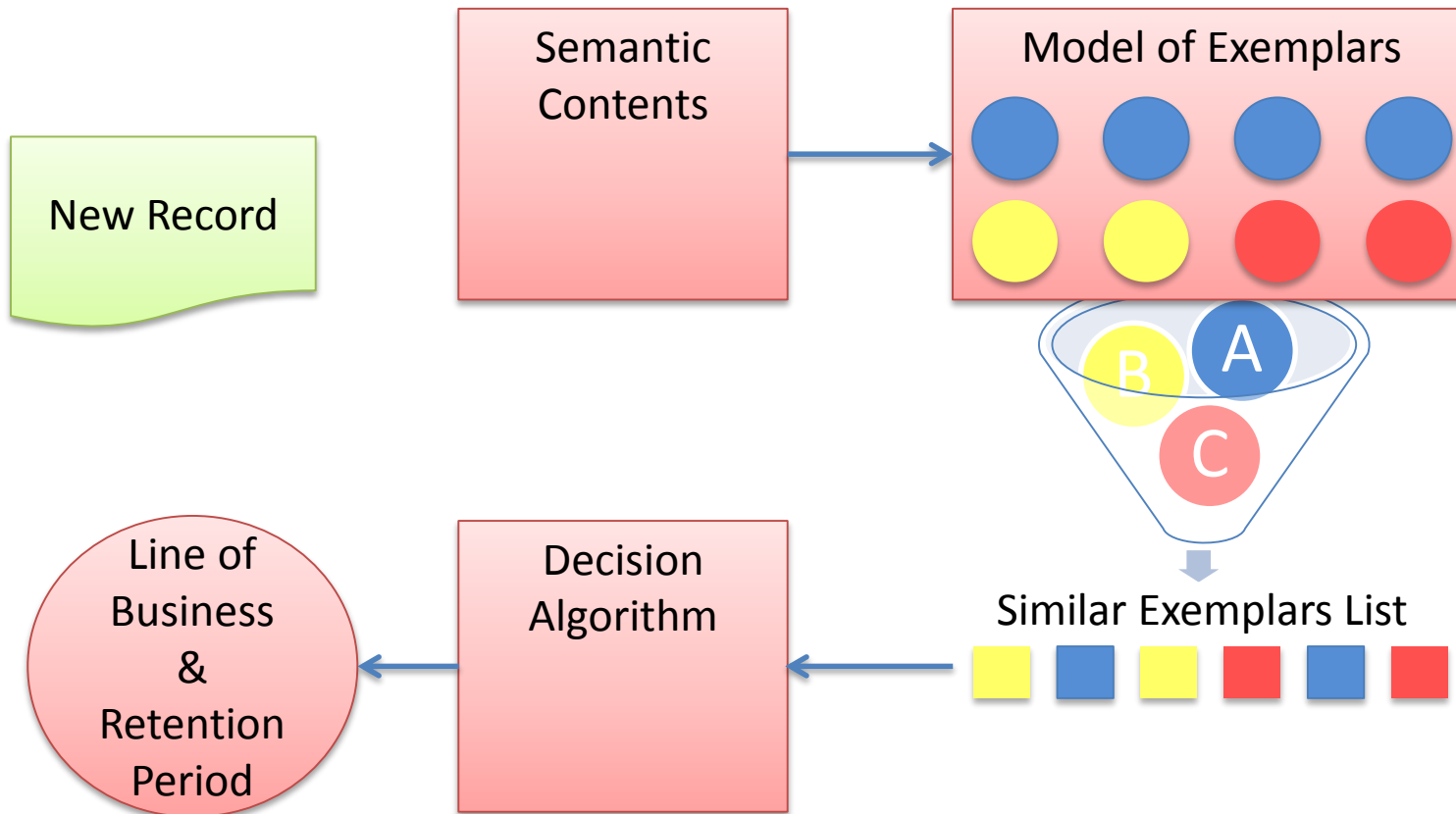
Departmental
Records
Schedule

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?



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

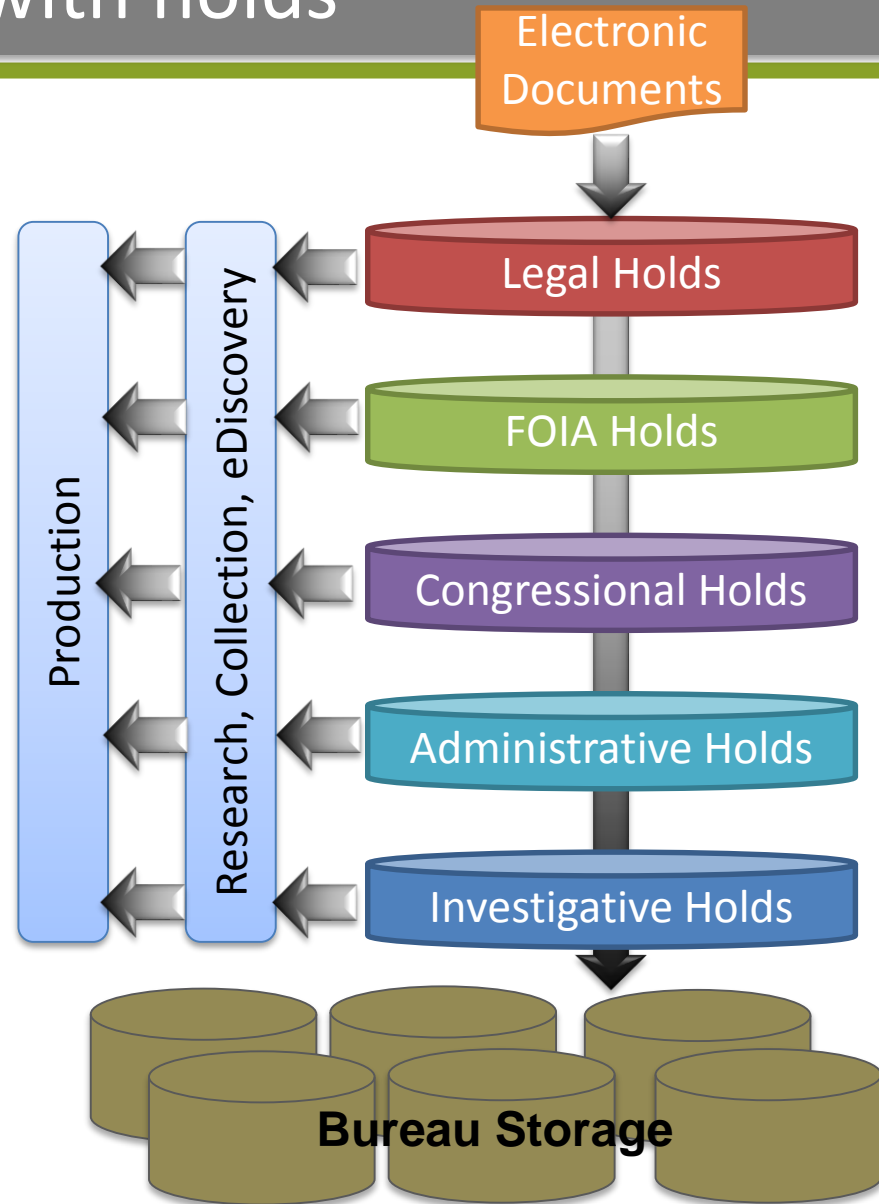
Auto-classification and event-driven retention

- 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)

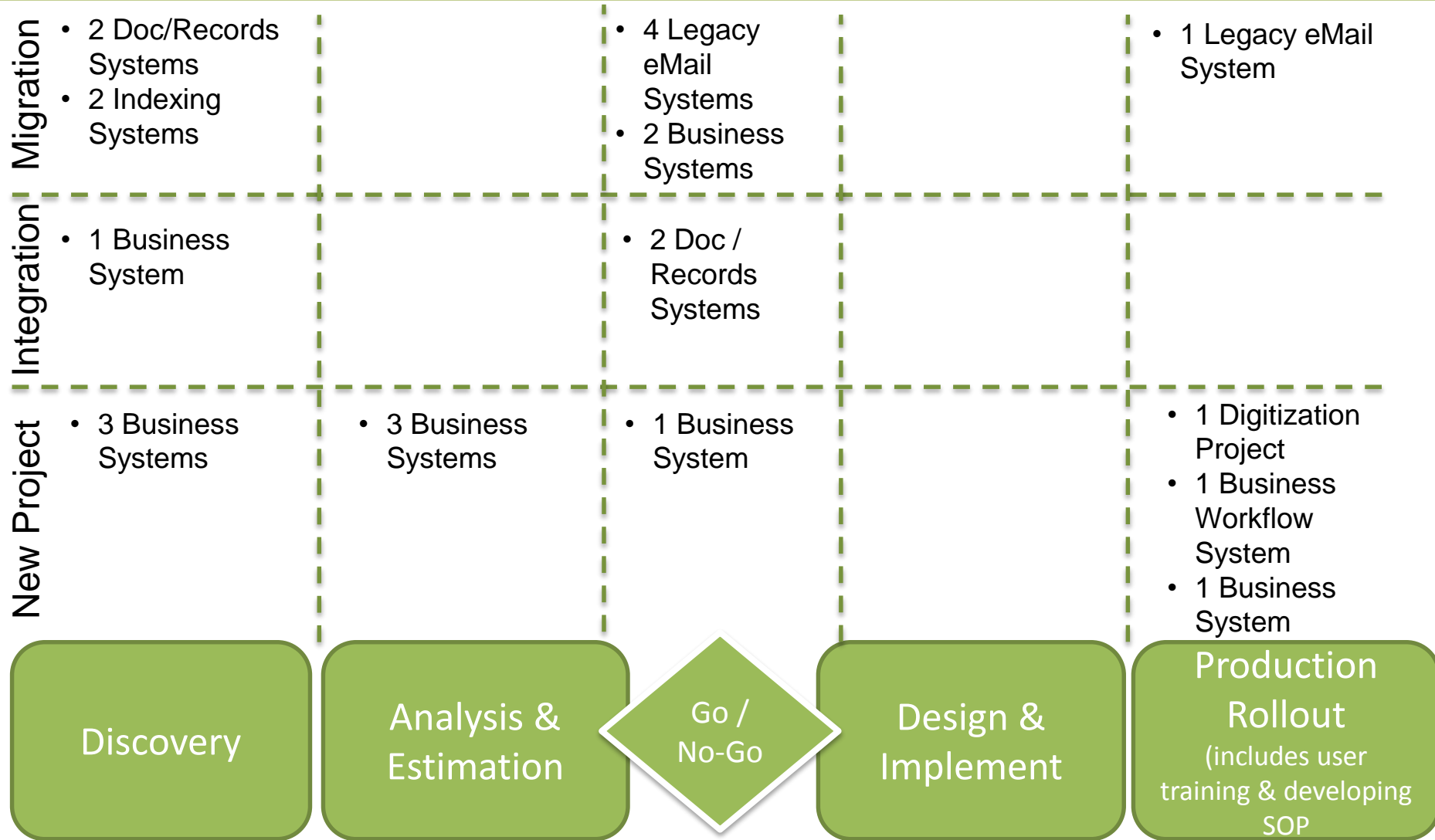


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- eForms
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New/System migration planning has just begun



Status as of Nov 15, 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

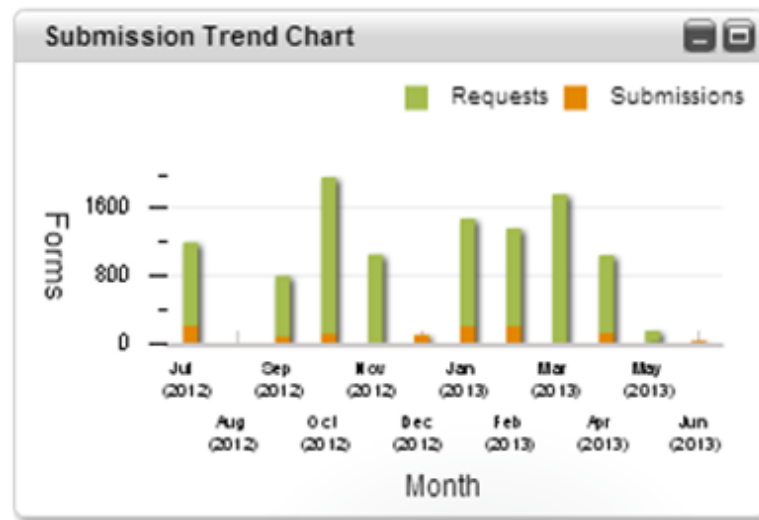
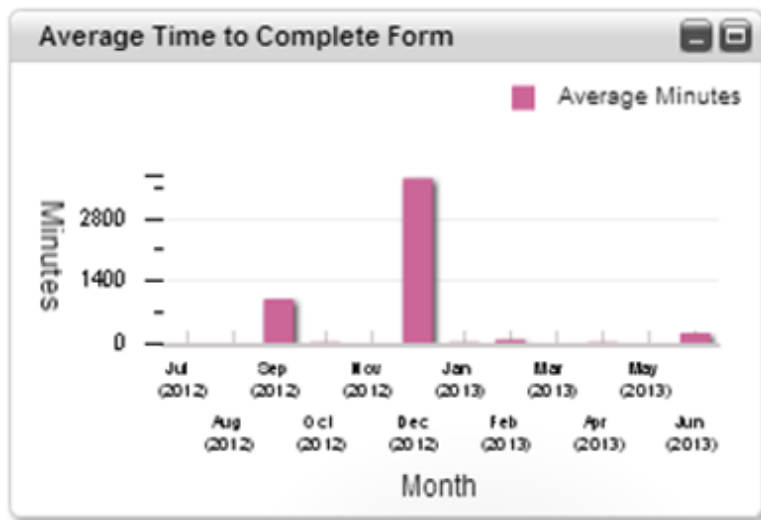
Capabilities	HTML5 Web Form	Electronic PDF	Printable PDF (Print and fill out)
Mobile Supported	✓	✗	✗
Field Level Data Validation	✓	✓	✗
Logic Based Business Rules	✓	✓	✗
Collapsible Sections	✓	✓	✗
Built In Navigation (Wizard Style)	✓	✓	✗
Save and Return	✓	✓	✗
Electronic Signatures	✓	✓	✗
In-line Help Text	✓	✓	✗
Electronically Attached Files	✓	✓	✗
Track Form Usage Metrics	✓	✓	✗
Electronic Submission	✓	✓	✗
Manual Submission (Fax or Mail)	~	~	✓
Wet Signature	~	~	✓

✓	Fully Capable
~	Partially Capable
✗	Not Capable



eForms default reporting capabilities

Report Title	Data Reported
Bureau Operational Summary	Provides an overview of transactions for a specific bureau
Operational Summary	Provides an overview of transactions for all bureaus
Bureau Transaction Report	Provides transaction statistics for a bureau, broken down by day and month
Transaction Report	Provides transaction statistics, broken down by day and month



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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 stake-holders 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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