

Document Management Discussion Straight from the Experts

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Digital Government Begins with Records Management Modernization

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**Department of Defense & Federal Knowledge
Management Symposium: GLOBAL KNOWLEDGE
INTEGRATION**

May 16, 2018

Who Are We?

- Independent Federal Agency
- 3000 Employees, 40 Locations
- \$380 Million Budget
- 1% - 3% of Federal Documents



Office of Chief Records Officer

- 100 Employees
- Training
- Oversight
- Policy and Outreach
- Operations
 - ∞ Appraisal, Scheduling, Assistance

NARA's Vision (or Challenge) Statement

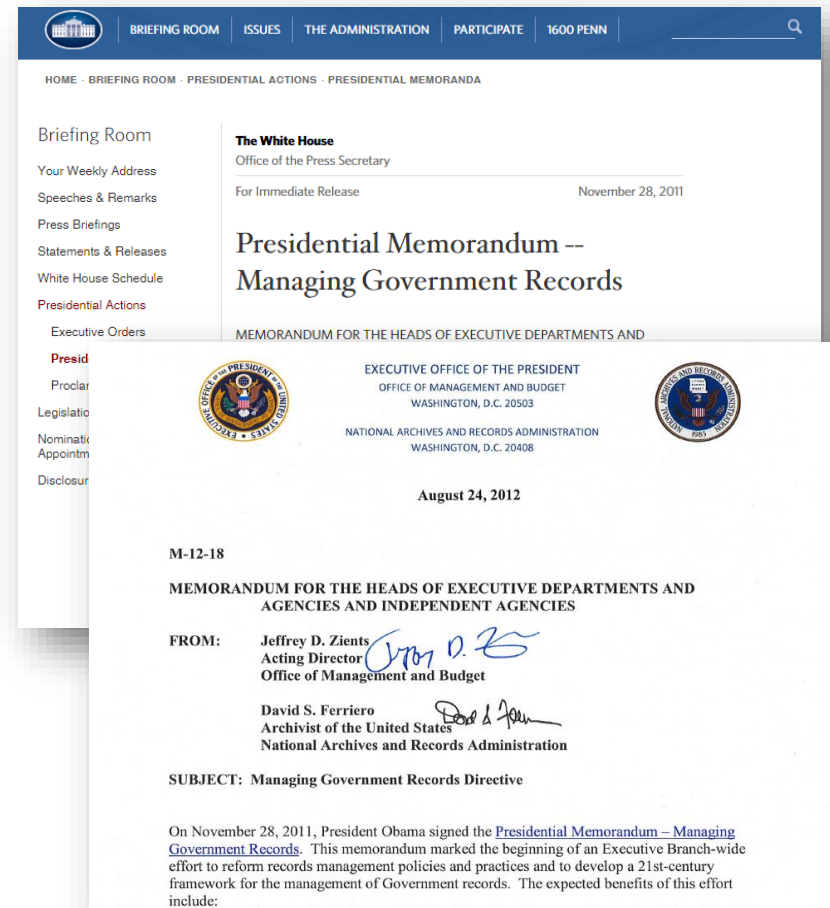
Our Vision is to transform the American public's relationship with their government, with archives as a relevant and vital resource. This vision harnesses the opportunities to collaborate with other Federal agencies, the private sector, and the public to offer information—including records, data, and context—when, where, and how it is needed. We will lead the archival and information professions to ensure archives thrive in a digital world.

- Office of Chief Records Officer
 - More Specific, More Tech Focused
 - Records Integral to Agency Mission
 - Effective Governance of Assets
 - Manage Electronically
 - Transparent to User



The Road Starts Here...

- [Presidential Memorandum](#)
- [Managing Government Records Directive](#)
- [NARA Strategic Plan 2018 - 2022](#)



Transformational Targets



By **2016**, agencies manage all email in an accessible, electronic format



By **2019**, agencies manage all permanent electronic records in electronic formats



By **2022**, NARA will no longer accept transfers of temporary or permanent records in non-electronic form.

Roadblocks?

- Legacy....addressing the old stuff
- Cost....technology is not getting cheaper
- Maturity....high demand for the right tools
- Infrastructure....developing systems and processes
- People....training workforce to thrive in new environment



The Road Forward

What does success look like for all of us?

- Develop governance framework
- Think systemically
- Leverage agency leadership
- Engage with private sector
- Monitor environment and emerging technologies





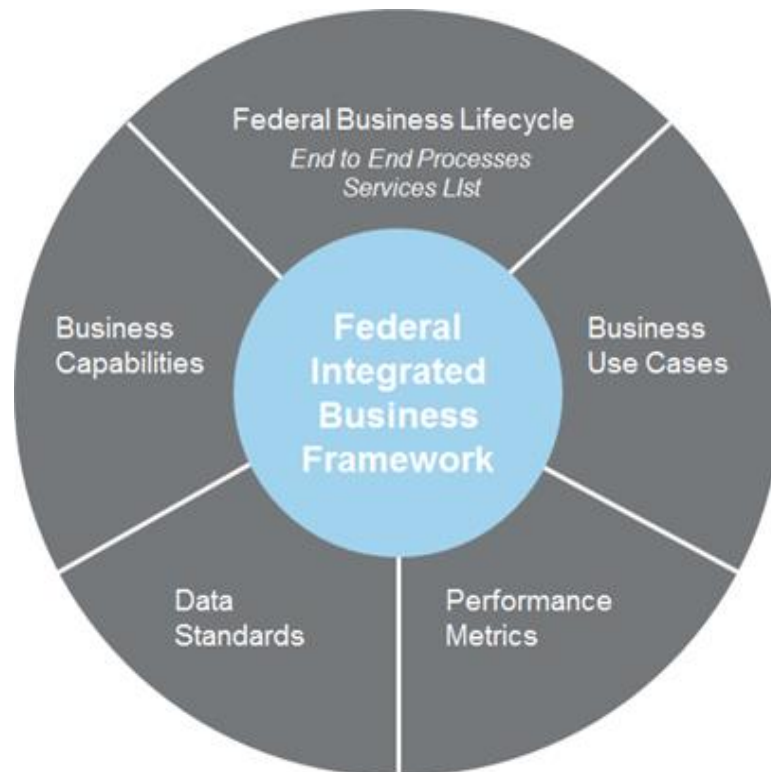
Federal Electronic Records Modernization Initiative (FERMI)

★ To help agencies obtain electronic records management (ERM) solutions and services fitting their needs through an improved procurement process

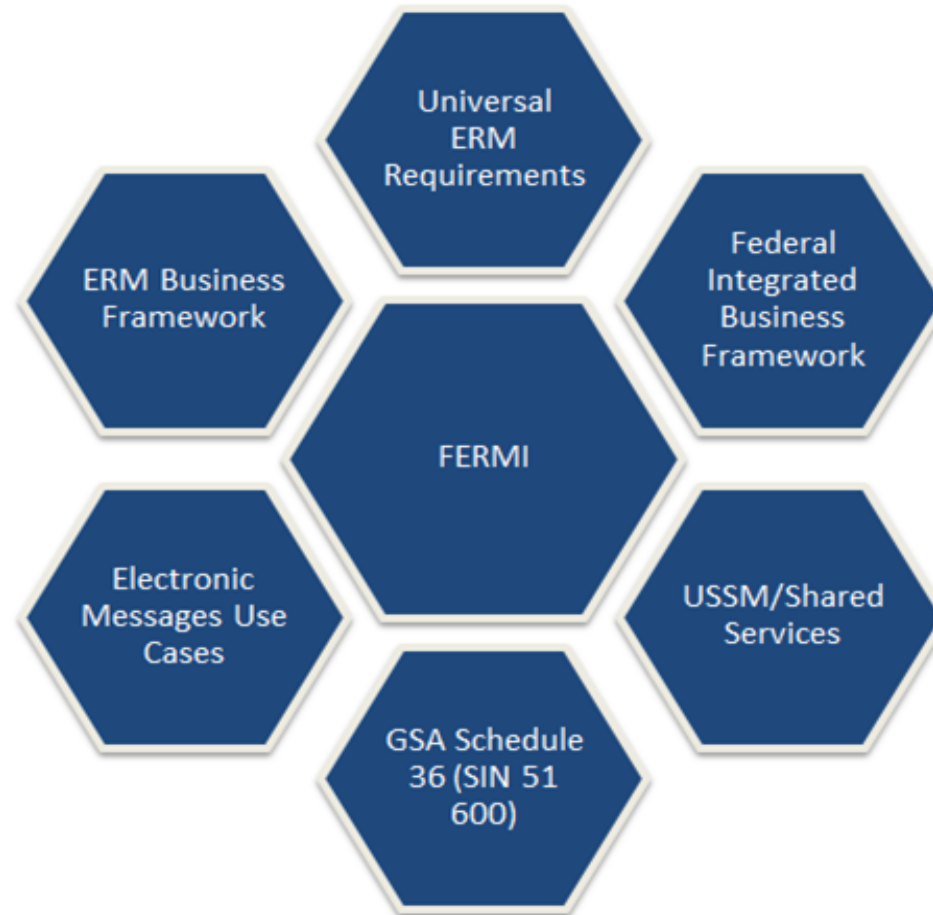
★ To proactively address changing trends in ERM by setting policy for new solutions and services.

HELP FEDERAL AGENCIES WITH THE HOW!


Federal Integrated Business Framework (FIBF)



FERMI Products



Universal ERM Requirements



Records Management Resources

E-mail Management

Records Management FAQs

Universal Electronic Records Management (ERM) Requirements

Req ID	Requirement Text	Lifecycle Phase	Req Type	Priority	Source	Desktop Applications	Electronic Messages	Social Media	Cloud Services
0.01	Agencies must manage all electronic records including all recorded information, regardless of form or characteristics, made or received by a Federal agency as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the US Government.	Full Lifecycle	Program	Must Have	44 USC 3301	X	X	X	X
0.02	Agencies should monitor and review access rights and permission rules for electronic records regularly; these access rights and permission rules should be updated on a regular basis.	Full Lifecycle	Program	Should Have	ISO 15489-1:2016, Section 8.4 Access and permission rules	X	X	X	X
0.03	Agencies must have controls to prevent unauthorized access, alteration, concealment, or destruction of records. Examples include access lists, monitoring, and agent validation.	Full Lifecycle	System	Must Have	ISO 15489-1:2016, Section 5.3 Records Systems	X	X	X	X
0.04	Agencies should regularly monitor and evaluate their records controls.	Full Lifecycle	Program	Should Have	ISO 15489-1:2016, Section 6.4 Monitoring and evaluation	X	X	X	X
0.05	Agencies retain responsibility for managing their electronic records, regardless of whether they reside in a public, private, or community cloud; a contracted environment; or under the agency's physical control.	Full Lifecycle	Program	Must Have	NARA Bulletin 2010-05: Cloud Computing				X
0.06	The records system must have the ability to prevent unauthorized access, modification, or deletion of records, and must ensure that audit trails are in place to track use of the records.	Full Lifecycle	System	Must Have	Requirements Working Group	X	X	X	X

<https://www.archives.gov/records-mgmt/policy/universalermmrequirements>

Electronic Messages Use Cases

Use Cases for Electronic Messages
National Archives and Records Administration
January 2018



ERM.010 – Use Case for Electronic Message Capture

Enabling Function: Records Capture

Note: The ERM functions affect every other Federal service area in that all agency mission support activities create electronic messages. The Enabling Functions provides support to other service areas and should be combined into their use cases to reflect how records are captured and managed.

Business Scenario(s) Covered

- [ERM.010.L1.01](#). Determine whether the electronic message meets the criteria for a record
- [ERM.010.L1.02](#). Determine if the electronic message can be placed under records management control
- [ERM.010.L1.03](#). Verify the electronic message possesses the characteristics of a record: reliability, authenticity, integrity, usability
- [ERM.010.L1.04](#). Determine which records schedule the electronic message belongs to
- [ERM.010.L3.01](#). Capture electronic messages sent or received from personal accounts within 20 days.

Business Actor(s)

Agency Personnel, Agency Records Management Staff, Business Process Owner, Information Systems Owner

Synopsis

When agency personnel receive or send an electronic message, the records management lifecycle begins. After receipt or transmission of the message, agencies begin the process of determining how to manage the electronic message. Electronic messages sent or received in the course of agency business are assumed to be records. For managing electronic messages under a Capstone approach, this includes determining the role of the user and capturing the electronic messages. The process for managing electronic messages includes determining the message content, matching the message to existing business functions, ensuring the format is acceptable, and ensuring the metadata is adequate and accurate. The agency is responsible for verifying the electronic message can be managed in a way to ensure it is reliable, authentic, usable, and has integrity. Finally, the agency will assign the electronic message to the appropriate records schedule, such as the Capstone GRS. If there is not a records schedule, electronic messages must be treated as permanent. This process consists of determining the correct record group to assign the electronic message, ensuring the assigned record group is tied to a records schedule, and assigning the electronic message to the previously identified group of records.

If agency personnel send or receive messages from personal accounts, the messages must be forwarded or copied to official accounts within 20 days.

Assumptions and Dependencies

1. There are no predecessor events required to trigger the Initiating Event.
2. These events can be automated, semi-automated, or be executed manually.
3. All the inputs and outputs listed in each event have been created or are available for use to execute the events.
4. There is a system or repository designated to manage an agency's electronic records.
5. The author or actor with intimate knowledge of the transaction or activity is available to verify the electronic message if a manual approach is taken.
6. The electronic messaging account(s) associated with the Capstone Official are considered permanent records.

GSA Schedule 36 Updates



**GSA Schedule 36
Records Management Solutions**

51 504 Physical RMS | 51 600 Electronic RMS

The graphic features a dark background with a grid of hexadecimal characters (0-9, A-F) in light blue and red. In the center, there are two stylized folder icons: a light blue one on the left and a red one on the right. The text is overlaid on this background.

More Information

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Records Express blog

<http://blogs.archives.gov/records-express/>

NARA Records Management webpage

<http://www.archives.gov/records-mgmt/>



ARMA International

2018 DoD and Federal Knowledge Management Symposium



ARMA
connected intelligence

ARMA International:

Our Vision:

To be the driving force that enables organizations to harness the strategic power of information

Our Mission:

To empower the community of information professionals to advance their careers, organizations, and the profession.





Our Community:

- A vast and diverse community
- Over 7k active members
- 86% also have a local chapter membership
- Over 23k who access our products and services
- More than 1/4th of membership from the government sector (Local, State or Federal)
- Additional industries include: Legal, Finance, Regulatory/Compliance, IT, Energy, Education

Top IM/IG Challenges

1. Managing Internal Challenges

- *Management support of programs, budgets, training*

2. Handling Electronic Records

- *Transitioning from paper to electronic, implementing an electronic document retention management system*

3. Acquiring Education or Certification

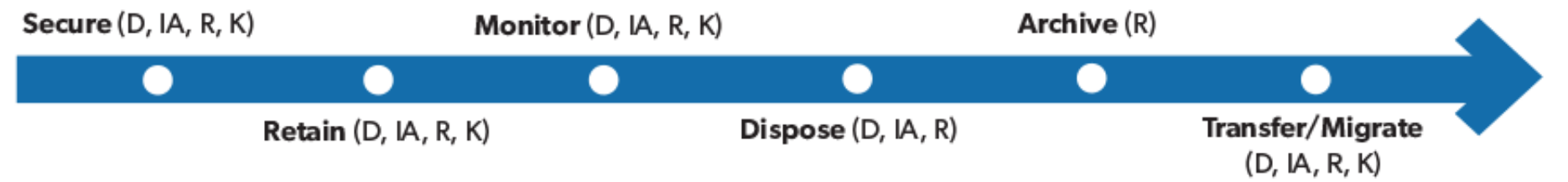
4. Keeping Up with Emerging Trends & Technology

5. Implementing Program

- *Implementing and using a new records management system*



Information Lifecycle



D: Create or receive facts or figures: Basis of Information

IA: Created when collection and classification become meaningful

R: Utilized and given business context

K: Story based on patterns in data and expert interpretation of information



Information Governance Industry Core Concepts





KM ... A Multidiscipline

Gathering, manipulating, storing, retrieving, and classifying information

Principles governing message handling under varying conditions and capabilities

Computing systems, languages, and mechanical & electronic devices (hardware & software)

Communication Science

Information Science

Computer Science and Technology

Knowledge Management

Routine Activity

Non-Routine Activity

Technical
Social

Social Science

Management Science

Applying scientific methods to study society and individual relationships within a society

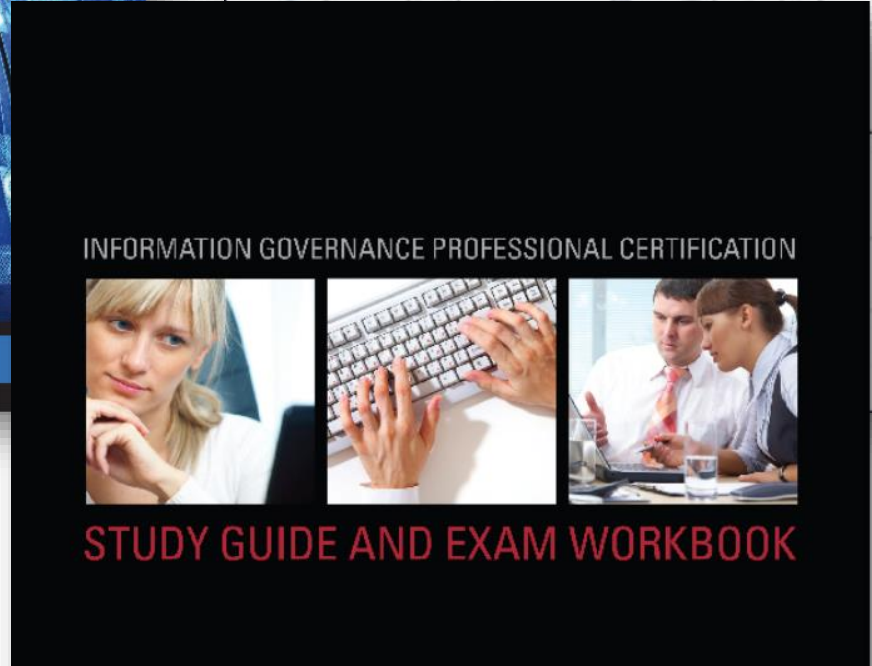
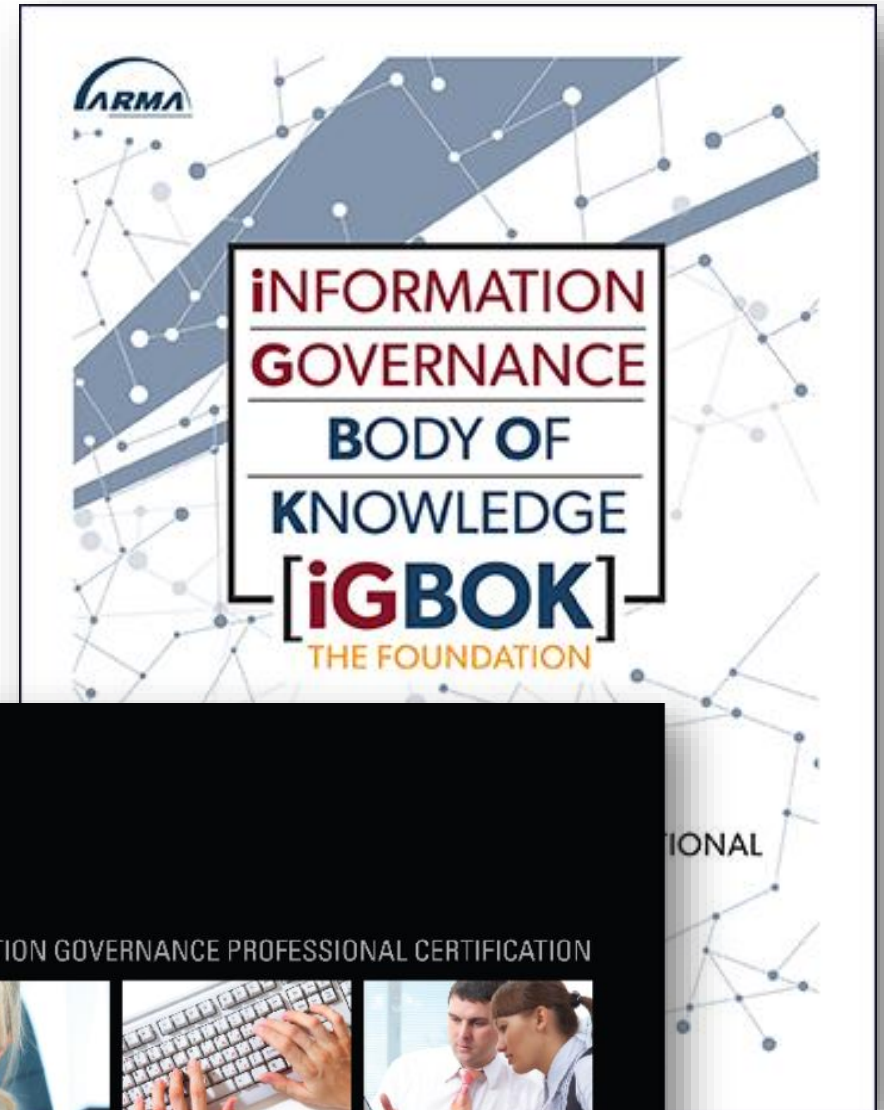
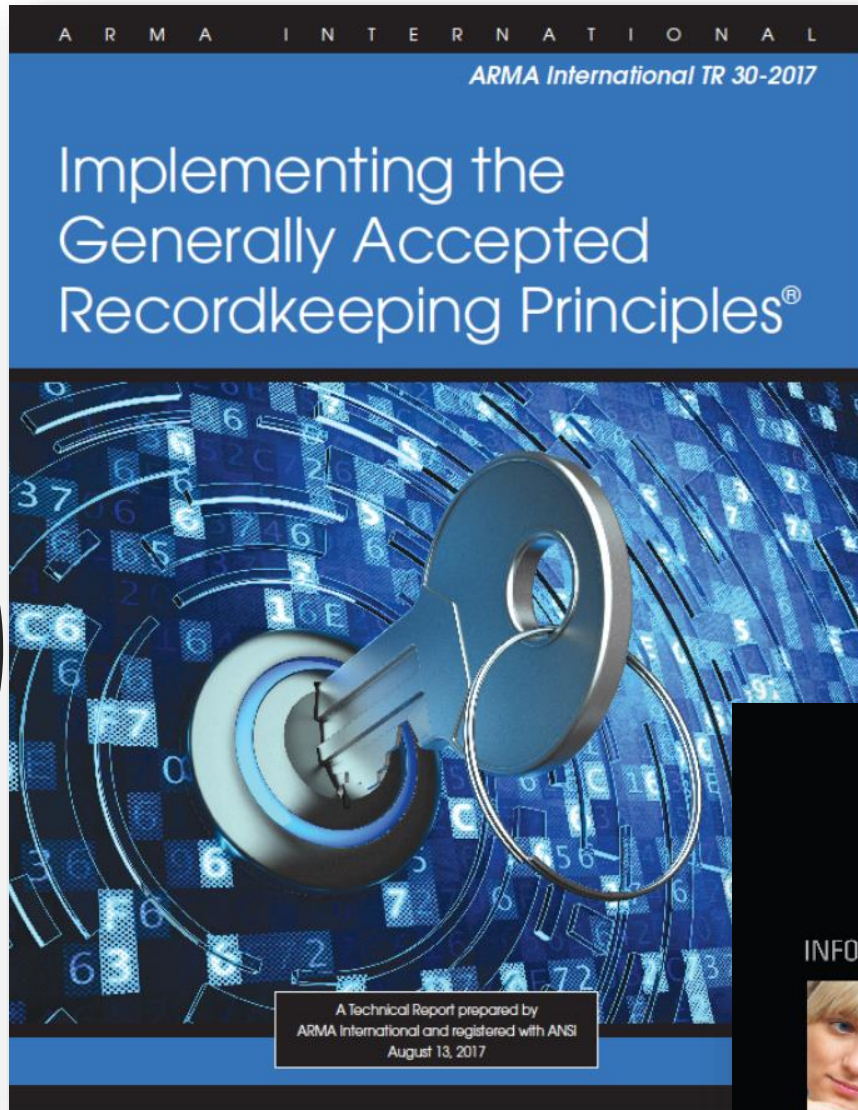
Behavioral Science

Using analytical methods and/or mathematics to make better decisions

Understanding human limits and capacities for information processing and knowledge formulations

Organizational Knowledge

Professional Resources



A large group of people, including men, women, and children, are gathered for a group photo at the AIIM Conference 2015. Many of the individuals are wearing dark t-shirts with a teal AIIM logo. In the background, a sign reads "AIIM CONFERENCE 2015".

AIIM A COMMUNITY FOR INFORMATION PROFESSIONALS

Find Your Network

The background of the slide is a scenic landscape photograph. It shows a wide, light-colored river or lake winding through a valley. The surrounding hills and mountains are covered in dense, brownish-orange vegetation, suggesting an autumn setting. The sky is filled with soft, white and grey clouds, with some light breaking through. The overall tone is natural and serene.


155,000

Engaged Professionals to Connect with

The background of the slide is a photograph of a rectangular cake with white frosting and a blue decorative border. The cake has some text written on it, including "ANNIVERSARY!".

ASSOCIATION FOR INTELLIGENT INFORMATION MANAGEMENT

What's in a name?

A large, diverse group of people is gathered on a stage, many with their arms raised in a celebratory gesture. They are wearing dark-colored shirts, some with a small circular logo. The background features a wall with a grid of circular acoustic panels. The scene is lit with blue and white lights.

MISSION: TO HELP
ORGANIZATIONS IMPROVE
THEIR PERFORMANCE BY
TRANSFORMING THE WAY
THEY MANAGE THEIR
INFORMATION

*Digital Transformation begins with
Intelligent Information Management*

WHERE WE'VE BEEN:

What that might tell us about where we're going...


	DOCUMENT/RECORDS MANAGEMENT & WORKFLOW CIRCA 1995	ENTERPRISE CONTENT MANAGEMENT CIRCA 2005	MOBILE AND CLOUD CONTENT MANAGEMENT CIRCA 2015
PEOPLE	Solutions are difficult to use and require lots of training – users are specialists.	Focus shifts from ECM “specialists” to knowledge workers, but usability still not a top priority.	Usability becomes everything. Lines blur between home and the office.
PROCESSES	Focus = automating content intensive, complicated, mission-critical processes – depts at large organizations.	ECM believes it’s an enterprise layer, but is often still driven by depts -- silos explode.	“Appification” of processes -- “Good enough” solutions emerge for the SME market.
TECHNOLOGY	Complex, custom and expensive implementations purchased by business buyers.	Rise – and then decline – of the “suites” -- SharePoint disrupts the traditional ECM market.	Configuration, connection and mobile skills become key -- File sync and share and cloud disruption.

Put another way...


Systems of Record -> Systems of Engagement -> Systems of Understanding

WHERE WE'RE GOING:

What we're aiming for...

The background of the slide is a dense grid of small, colorful, reflective spheres in various colors including red, green, blue, yellow, and purple. A semi-transparent white rectangular box is centered over the grid, containing the main text.

**THE TECHNOLOGY IS NOT
THE END GAME –
DIGITAL TRANSFORMATION
IS THE END GAME.**

The background of the slide is a photograph of a beach. In the foreground, there is a wide expanse of golden-brown sand. In the middle ground, gentle waves with white foam are washing onto the shore. In the background, the ocean extends to the horizon under a clear sky. The text is overlaid on a semi-transparent white rectangular area in the center of the image.

EVERY ORGANIZATION IS ON – OR SHOULD BE ON! – A DIGITAL TRANSFORMATION JOURNEY. THE HEART OF THIS TRANSFORMATION JOURNEY IS UNDERSTANDING, ANTICIPATING, AND REDEFINING INTERNAL AND EXTERNAL CUSTOMER EXPERIENCES.

INTELLIGENT INFORMATION MANAGEMENT:

As the currency that fuels and funds Digital Transformation, information is your most important asset. AIIM believes that there is a core set of information-driven capabilities that are necessary for achieving business transformation. We call it **Intelligent Information Management**, and it comprises these steps:

A large group of diverse people, including men and women of various ages and ethnicities, are posing for a group photo. Many are wearing dark-colored t-shirts with a small circular logo on the chest. They are all smiling and waving their hands. The background is a wall with a grid of circular, raised acoustic panels. A semi-transparent white box is overlaid on the left side of the image, containing text.

INTELLIGENT INFORMATION MANAGEMENT

- *1 -- Modernizing the information toolkit.*
- *2 -- Digitalizing core organizational processes.*
- *3 -- Automating compliance & governance.*
- *4 -- Leveraging analytics & machine learning.*

MODERNIZING THE INFORMATION TOOLKIT

cloud content mgmt

collaboration platforms

low-code platforms

integration & migration

DIGITALIZING CORE ORGANIZATIONAL PROCESSES

RPA

BPM

intelligent capture

high volume & ECM

AUTOMATING COMPLIANCE AND GOVERNANCE

RM

ediscovery & legal

compliance

blockchain

LEVERAGING ANALYTICS AND MACHINE LEARNING

AI & cognitive

automated data recognition

Metadata and taxonomy

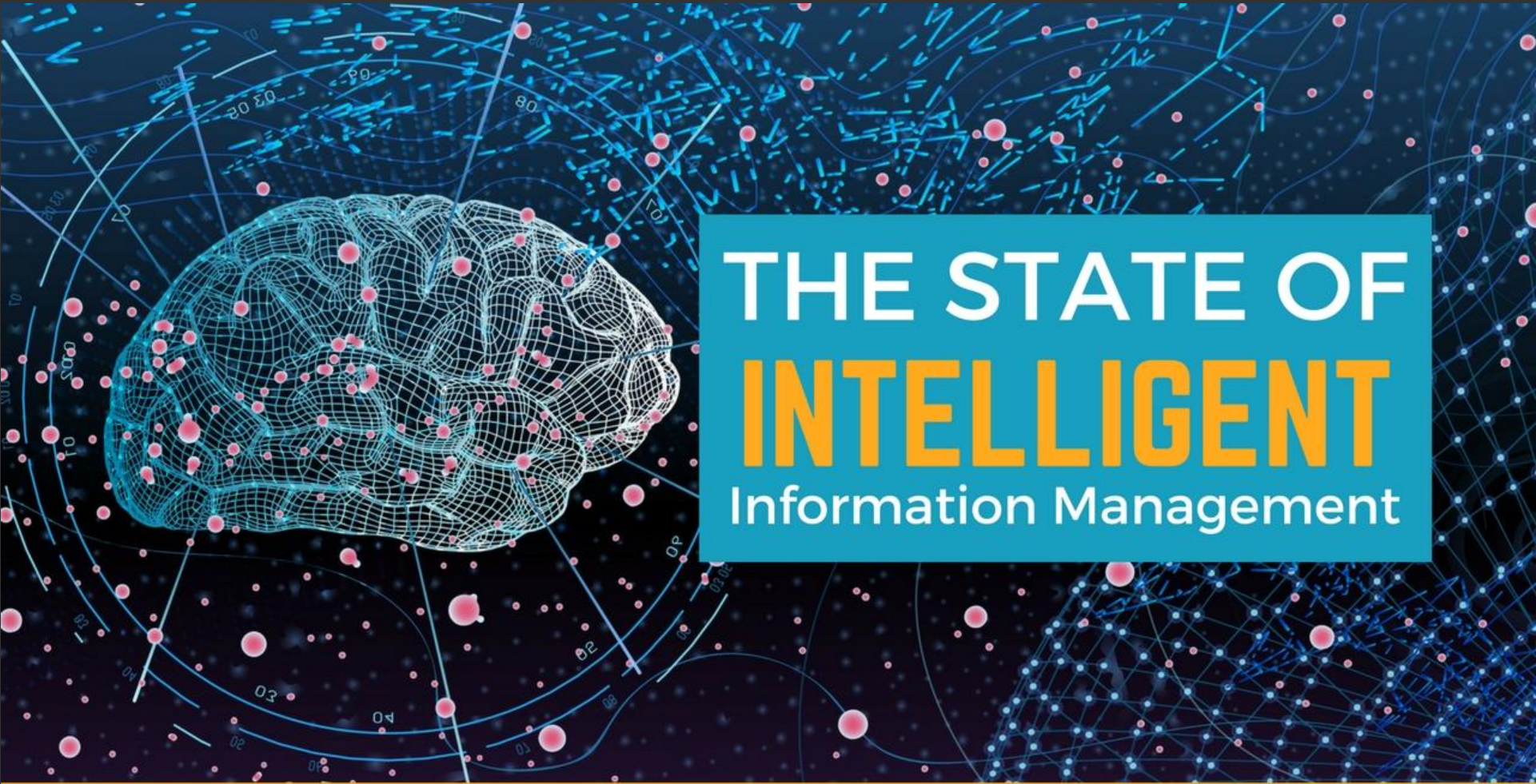
document classification & PII

CONTENT AND CONNECTIONS

www.aiim.org/membership

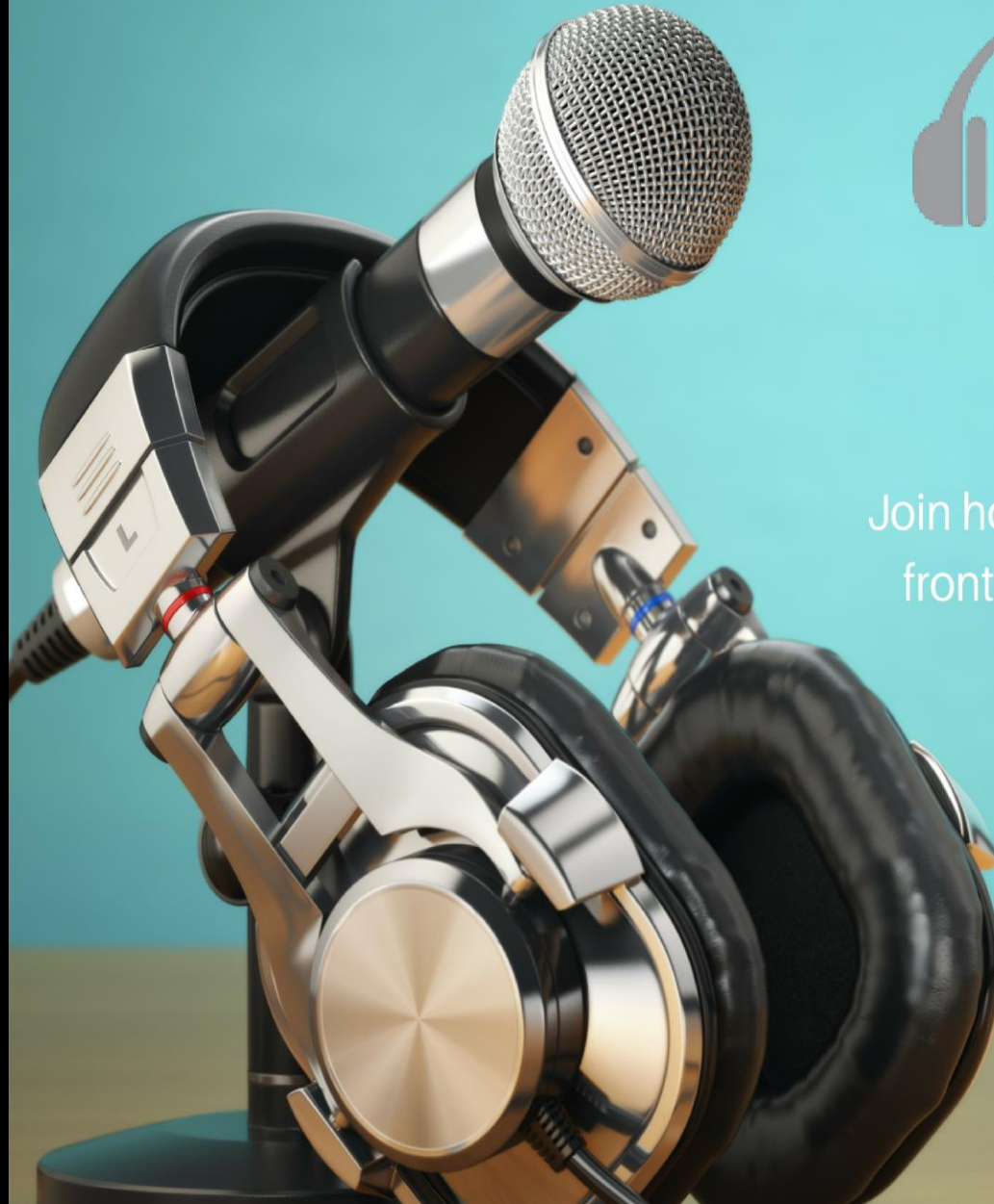
1. **Research** focused on emerging trends, processes, and technologies
2. **New Training:**
 - Modern Records Management
 - IM in the Cloud
 - Artificial Intelligence
 - Robotic Process Automation
 - Blockchain
 - CIP Revision
3. **Community.** The Secret in the Sauce





THE STATE OF **INTELLIGENT** Information Management

Learn how to get ahead of the Digital Transformation Curve. Get your FREE report at [AIIM.org/Transformation](https://aiim.org/Transformation)



Join host Kevin Craine and special guests on the front lines of Digital Transformation in action.



COMMUNITY. AIIM.ORG

Connect

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RECORDS MANAGEMENT



V. STORE. SHRE
yarnalrecordsrgmt.com

AIIM.ORG/CIP

Certify



**THE RANGE OF INFORMATION
THAT AIIM IS PROVIDING TO OUR
INDUSTRY IS NOTHING SHORT OF
IMPRESSIVE AND THE
PROFESSIONAL MEMBERSHIP SITS
AT THE HEART OF IT.**

Hanns Kohler-Kruner, Research Vice President, Gartner

WHERE CAN I LEARN MORE?

For just \$14 month you can have
unlimited access

Professional Membership
www.aiim.org/promem

Company memberships available too
<http://www.aiim.org/membership>

