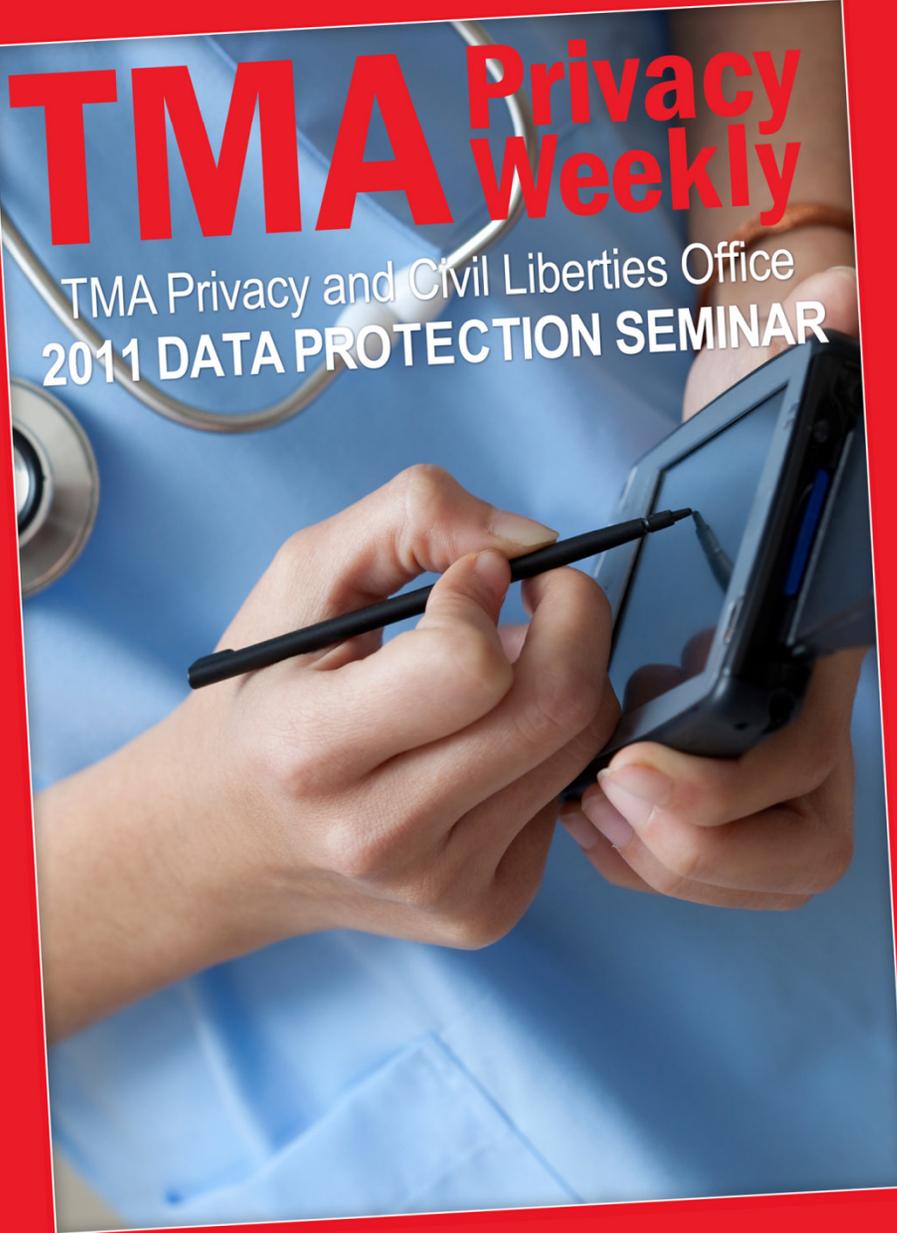


JUNE 7-8, 2011

TMA Privacy Weekly

TMA Privacy and Civil Liberties Office
2011 DATA PROTECTION SEMINAR



Migrating to a Records Management Application



Migrating to a Records Management Application

Purpose

The purpose of this presentation is to illustrate how an understanding of federal records management (RM) provides a solid foundation for data protection and describe how electronic records management (ERM) initiatives will increase the Federal Government's efficiency and reliability.



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Objectives

- Upon completion of this presentation, you should be able to:
 - Identify the integral components of RM and apply federal and DoD RM regulations
 - Describe the different ERM initiatives
 - Explain factors that are critical to the success of the deployment of a Records Management Application (RMA) and/or a Document Management System (DMS)



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Records

Records are all books, papers, maps, photographs, electronic, or other materials made or received by a United States agency that document the organization, functions, policies, decisions, procedures, operations, or other activities of the Federal Government (44 United States Code [USC] § 3301).



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Records Management

RM supports the creation, maintenance and use, and disposition, or the “life cycle”, of records in order to document federal policies, operations, and transactions appropriately and economically (44 USC § 2901).



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Electronic Records

- An electronic record may include the following components:
 - Data
 - Metadata
 - Documentation
 - Examples: Video, sound and image files, web-based documents, and common file extensions (i.e., .pdf, .doc, .xml)



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E-mail Records

- An e-mail record is a message created or received on an e-mail system by a United States agency as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the government (36 Code of Federal Regulations [CFR] 1234.2)
 - Includes all envelope data, notes, and attachments
 - Whether or not an e-mail is a record is based on the content of the e-mail itself and if the e-mail is not duplicated elsewhere (e.g., printed and filed or saved to a hard drive)



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Electronic Records Management

- ERM is a response to the need to manage unstructured data
 - Examples can include Microsoft desktop tools such as:
 - Word, Excel, PowerPoint, Outlook
- Electronic data must be managed over time, which poses challenges as to what electronic media/technology will be around in the distant future
- With the vast increase in federal electronic records, the demand for ERM is now stronger than ever



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Electronic Records Management (continued)

- Benefits of ERM:
 - Ensures federal compliance and accountability
 - Enhances information assurance
 - Promotes information sharing
 - Provides organizational continuity and consistency



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Laws and Regulations

- 36 CFR Subchapter B, Records Management
- Office of Management and Budget (OMB) Circular A-130, “Management of Federal Information Resources”
- DoD 5015.2-STD, “Electronic Records Management Software Applications Design Criteria Standard”
- Washington Headquarters Services (WHS) Administrative Instruction 15 (AI-15) Volume I, “Records Management Program – Administrative Procedures”



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Laws and Regulations (continued)

- WHS AI-15 Volume II, Records Management Program – Records Disposition Schedules
- DoD Networks and Information Integration Memorandum, “Electronic Mail Records and Electronic Mail Retention Policies for the Department of Defense”, May 22, 2005



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Records Freeze

- A records freeze is the suspension or extension of the disposition of temporary records that cannot be destroyed on schedule because of special circumstances
- These special circumstances may include:
 - Litigation
 - Updating a records control schedule
 - Disasters
- TRICARE Management Activity (TMA) must retain records that could have been destroyed prior to the freeze



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ERM Initiatives: Electronic File Station

- An Electronic File Station is a centralized repository for the storage of electronic records (e.g., office shared drive) for the duration of their life cycle
- Electronic File Stations
 - Must be organized and maintained in accordance with the AI-15
 - Require the assignment of individual access rights to maintain the security of specific folders



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ERM Initiatives: E-mail File Station

- An E-mail File Station manages e-mail and all other correspondence through existing platforms and applications
- E-mail File Stations are:
 - Located within the TMA public folder
 - Accessible via specific user role
 - Segregate sensitive government e-mail
 - Governed by the AI-15



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ERM Initiatives: System Inventories

- A system inventory is a questionnaire to help RM personnel determine how long the record data within the system needs to be kept and whether or not the system should be scheduled
- Inventories include federal records contained in information technology (IT) systems that are subject to AI-15 compliance



ERM Initiatives: System Scheduling

- System scheduling is the process by which RM personnel work with the National Archives and Records Administration (NARA) to determine the retention period for records within the system
 - Scheduling depends on different regulations, statutes, and business needs
 - Records or data in systems with no defined retention period are unscheduled records that require scheduling via the appraisal process, which includes inventory, scheduling, and approval



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RMA vs. DMS

RMA	DMS
Manages records in a secure central repository	Stores documents in a secure central repository
Plans for long-term access to electronic records	Provides standard templates for key documents
Automates RM functions by applying retentions	Allows users to publish documents in a central location, access them, and collaborate
Disposes of final records in compliance with records retention schedule	Allows documents to be modified (drafts, versions, etc.) and deleted
Prevents records from being modified or deleted	Intended to support day-to-day use of documents



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RMA and DMS: Working Together

- A DMS tool with an RM component can help an agency manage its records on an enterprise-wide level
- Common functionalities of a joint RMA-DMS tool may include:
 - Workflow and versioning tools
 - Standard RM capabilities
 - Image capture and cataloging of physical documents



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Enterprise Content Management

Enterprise Content Management (ECM) is the strategies, methods, and tools used to capture, manage, store, preserve, and deliver content, documents, and unstructured information related to organizational processes, wherever that information exists.



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DoD 5015.02-STD

- DoD 5015.02-STD provides a baseline requirement that all systems have to meet in order to be certified to handle DoD records
- The design criteria covers implementation and maintenance of ERM software applications and system interfaces and search criteria
- While NARA has endorsed the use of this standard for all agencies, it is only mandatory for DoD

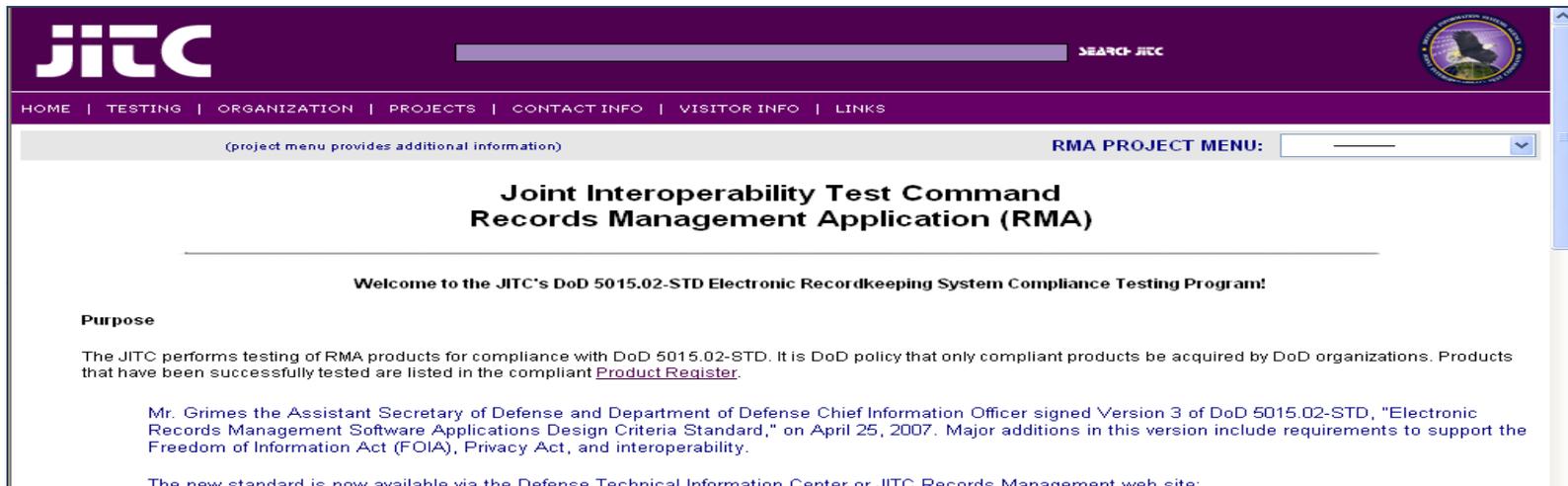


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Migrating to a Records Management Application DoD 5015.02-STD and the JITC



The screenshot shows the JITC website interface. At the top left is the JITC logo. To its right is a search bar labeled 'SEARCH JITC'. Further right is a circular seal of the Department of Defense. Below the logo is a navigation menu with links: HOME | TESTING | ORGANIZATION | PROJECTS | CONTACT INFO | VISITOR INFO | LINKS. Below the navigation menu is a grey bar with the text '(project menu provides additional information)' on the left and 'RMA PROJECT MENU:' followed by a dropdown menu on the right. The main content area features the title 'Joint Interoperability Test Command Records Management Application (RMA)' in bold. Below the title is a horizontal line, followed by the text 'Welcome to the JITC's DoD 5015.02-STD Electronic Recordkeeping System Compliance Testing Program!'. Underneath is a section titled 'Purpose' with a paragraph explaining the JITC's role in testing RMA products for compliance with DoD 5015.02-STD. A final paragraph mentions that Mr. Grimes, the Assistant Secretary of Defense, signed Version 3 of the standard on April 25, 2007. At the bottom of the page, there is a link: 'The new standard is now available via the Defense Technical Information Center or JITC Records Management web site.'

The DoD Joint Interoperability Test Command (JITC) developed a test program to certify products against DoD 5015.02-STD.



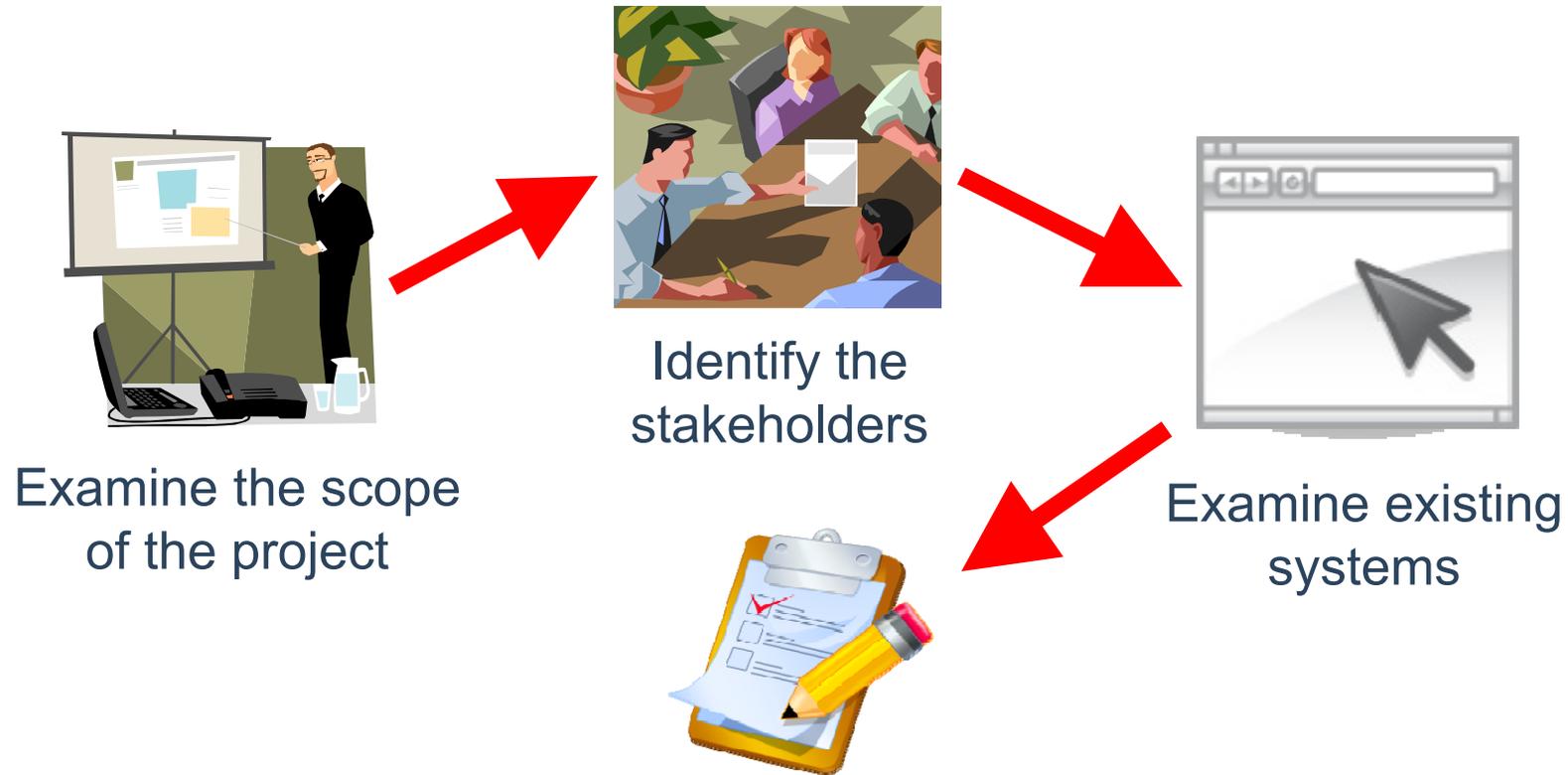
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Establishing System Requirements



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RMA Challenges

- RMA selection challenges:
 - Possible compatibility issues with existing infrastructure/IT architecture
 - Data migration (legacy systems)
 - User impact
 - Life cycle cost
 - Premature system acquisition
 - Workflow integration
 - Unrealistic system functionality requirements



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RMA Challenges (continued)

- RMA implementation challenges:
 - Cooperation between IT and RM professionals
 - Inadequate staffing
 - Resistance to change
 - Reluctance to exercise full system functionality
 - Lower placement on agency priority list



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Workforce Training Implementation

- Following the selection of a RMA and/or a DMS, the agency must consider the following points for training TMA personnel to implement the system effectively:
 - What is the impact on the user?
 - Is the IT or RM sector responsible for conducting the training?
 - Is a phased approach the best?
 - Will the training be agency-wide and also include refresher courses?



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Summary

- You should now be able to:
 - Identify the integral components of RM and apply federal and DoD RM regulations
 - Describe the different ERM initiatives
 - Explain factors that are critical to the success of the deployment of a RMA and/or a DMS



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Resources

- 36 CFR Subchapter B, Records Management, November 2, 2009
- OMB Circular A-130, “Management of Federal Information Resources”, November 28, 2000
- DoD Networks and Information Integration Memorandum, “Electronic Mail Records and Electronic Mail Retention Policies for the Department of Defense”, May 22, 2005
- DoD 5015.2-STD, “Electronic Records Management Software Applications Design Criteria Standard”, April 25, 2007



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Resources (continued)

- WHS Administrative Instruction 15 (AI-15) Volume I, “Records Management Program - Administrative Procedures”, April 18, 2008
- WHS AI-15 Volume II, “Records Management Program - Records Disposition Schedules”, April 18, 2008
- Joint Interoperability Test Command:
<http://jitc.fhu.disa.mil/recmgt/index.html>
- E-mail Elizabeth.Bomgardner@tma.osd.mil for subject matter questions
- To subscribe to the TMA Privacy and Civil Liberties Office E-News, go to: <http://www.tricare.mil/tma/privacy/maillinglist.aspx>



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