Strategies for Implementing Large-Scale ERM

Kris Stenson
ORMS Administrator
Oregon State Archives

Brice Sample
Records Manager
State of Michigan
Position in Government

• Under Secretary of State
• Archivist appointed
• Permanent Repository for all State Agency Records
• Security Microfilm Repository
• State Records Center for non-permanent records
Technical Infrastructure

• State IT semi-centralized
  • Dept. of Admin. Services (DAS) provides IT infrastructure for many state agencies
    • Operate state data center
    • SOS, other agencies have independent IT

• Oregon Records Management Solution (ORMS)
  • Public/private partnership, IT & datacenter privately run
History of ORMS Project

• 1995: Email use by state agencies OK, but policy attempts rebuffed
• 2001: SOS issues RFI for ERMS
• 2003: OSEP v. SAIF : 2.2 mil in fines

• Better visibility for Archives & PR law, still pushback
History of ORMS Project

• 2005: Mary Beth Herkert State Archivist
• 2007: Looking at DoD 5015.2 cert. systems
• 2008: Tower TRIM selected, implemented in SOS
History of ORMS Project

- 2008-09: Eying state-wide
  - State CIO & DOJ Tech Attorney key allies
  - State datacenter no-go

- 2011: Chaves Consulting, Inc. awarded RFP
  - SAAS model, but private govt. cloud
  - Tier 3 datacenter in Eastern Oregon
  - MSA simplified, good for all govt. entities
  - Arikkan, Inc. for IT support
• Pushback from state procurement
  • Not engaged in first conversation

• Compromise: pilot, 6 state agencies max
  • Plus 4 local
  • 2011-2013 scheduled, shortened due to demand

• Today: Close to 40 entities at all levels implementing & growing
1951: State Office Building Fire
1952: Records Management Legislation
1954: State Records Center Opens
Current: Records Management Services, Department of Technology, Management and Budget
Technical Infrastructure

1990’s: Consolidated Information Technology Department

Allowed for extending shared records management services into electronic environment

Internally hosted and managed solution
History of System Acquisition

Issued Request for Proposal in 2009

- Evaluated 12 bids
- Selected best and most cost-effective solution
- Only product demonstrated to be administered by the business unit
- All required functionality available out of the box
- Single code set requiring no custom coding
- Intuitive user interface
History of System Acquisition

• Partnered with Department of Environmental Quality for startup costs.
• Spent a great deal on project management costs before a product was even selected
• Part of the agreement was that a DEQ agency was selected as the pilot user, with a legacy imaging system
Governance
“Software as a Solution”

- RM through better business practice
- Archives existing agency relationships
  - Public Records Training
- Chaves: Reaches out to agencies directly
  - Pre-existing relationships
  - Informational packets and meetings
Marketing Lessons Learned

• The right person in the role is key
• Beware the over-promise
• Pre-existing relationships matter
• The best marketing comes from happy agencies
Marketing

• Our greatest Challenge
• Target: All state agencies
• Methods:
  • Word of mouth
  • Training
  • Other services, including contracted
Implementing New Customers

- IGA w/ SOS, SSA with Chaves signed
- Series of facilitated meetings
  - “First Records,” customization, network config.
- Usually one or two departments
- Internal “Agency Administrators” to facilitate
- User training by Archives staff
Implementation Lessons Learned

• Setting a timeline is important
  • Aspirational, but keeps things moving

• There will be stops and starts
  • Lots of different moving parts

• “Customized” only goes so far
  • Guide the process for best effect

• It’s ok to nag (a bit)
Implementing New Customers

- Charter
- Meetings/Draft Configuration
- Agency Testing
- Configuration Approval
- Production Build
- Training
- Go Live
- Lessons Learned
Implementing New Customers

• Implementation timeline
  • Average new customer takes 3-5 months from commitment to production
  • Usually waiting on decisions/deliverables from customer, rather than internal work efforts
  • Additional IT components of a project will significantly extend timeline, but not often necessary
Implementing New Customers
• Complex with a few users
• Or
• Simple with many users
• Archives & Support admins:
  • control schedules, classifications, record types, locations

• Client agencies:
  • Can manipulate records, create folders, attach and change security on records, attach classifications
  • Cannot change user profiles, change classifications or schedules, destroy records*

• Some exceptions with early implementers, large state entities
System Administration

• Three Rules
  • Don’t Break Yourself
  • Don’t Break Others
  • Don’t Break the Law

• Limiting functions supported, rather than using everything available.
• Classifications & triggers: Archives
• Attached at folder level...mostly
• Agency Administrators trained on using

• Destruction:
  • Archives runs report on expired records
  • Report sent to agency, reviewed & approved
  • Dispose, not Delete- metadata remains
Records Management

- Official Retention and Disposal Schedules built into system
- Built into structure automatically so users don’t need to know
  - just file where it makes sense
  - Compliance without having to think about it
- Disposal
  - Centrally Managed
  - Coordinated through Records Management Officers
Internal Governance Structure - Oregon

Oregon State Archives
ORMS administration
Agency outreach
Software configuration / set-up
User training
Ongoing training & support

CCI
Business & Contracts
Customer Support
24/7 Support Desk
Project Management
Agency outreach

ARIKKAN
Technical implementation
Network engineering
Ongoing application maintenance
Testing & troubleshooting
Internal Governance Structure - Oregon

- **Archives**: ORMS Administrator & 4 Records Analysts
- **Chaves**: Project Implementation Manager & 2 Support Desk
- **Arikkan**: Network Tech, Several IT support people, Data Center Manager...

- Weekly Archives meetings, Weekly ORMS calls, Monthly exec calls, bimonthly user group calls
Internal Governance Structure - Michigan

- Staff
  - Three Business Analysts
  - Two Technicians
  - One Manager
- Configuration documentation and manual
- Internal meetings twice monthly
  - Any configuration changes
  - New customer use cases
  - System maintenance and updates
• Assigned archives lead for each agency until rollout complete
• Chaves provides 24/7 helpdesk support
  • Clearinghouse for most inquiries
  • Routes technical problems to Arikkan; training, records, security issues to Archives
  • Maintains ticket tracking system for accountability
• Bi-monthly user group meetings, conference calls
Customer Lessons Learned

- Clear communication practice between parties can take some work
- Customers often expect Archives to know all
- Internal agency issues can turn into our problem if not careful
Customer Relationships

• Customer governance meetings held twice yearly
• Agency Local Coordinators
  • Security requests and audits
  • Planned system outages/updates
  • Configuration changes
  • Disposition approved by Records Management Officers
• Help Desk
  • Recently moved to technicians
  • Escalation path through Local Coordinator, up to Analyst
Customer Cost Model

- Chaves handles all billing
- Basic monthly per-user fee: $37.02
  - 10 GB per user, 1GB transfer/month/user
- Additional cost: custom integrations, advanced feature building
- Occasionally require on-site IT investment
- Promises to reduce costs as users grow
  - BUT timeline for this was overly ambitious at first
Customer Cost Model

- Rated Service Model
  - Initial Implementation per user
  - Maintenance Monthly per user
  - Maintenance Monthly per GB of storage
- Shared resources for predictable costs
  - Single dataset
  - Single server infrastructure
  - Agile customer service and expansion, no billable hours
User Training

• All agencies receive 1:1 training for all licensed users provided by Archives

• Customized guidance documents for all

• One or more “Agency Administrators” get advanced training at each agency

• Archives provides additional trainings, refreshers, etc. as needed.
User Training Lessons Learned

• Unenthusiastic agency leads = labored implementations
• Not all staff teaches the same, have to be flexible
• Goal is toward self-sufficiency, but varied success
• Tough to train if users don’t know the why
• Currently training all staff upon initial implementation
• Custom training manual for each agency based on configuration
• Hands-on computer lab training
User Training Lessons Learned

• Initially started with “Train the Trainer” model
• Different skill sets/challenges
• Starting to do more web-based training, especially for outstate customers
System Use and Growth

- Currently around 1316 users
  - 21 implemented agencies
  - 15 in process agencies
- Over 2.9 TB records spread over 5 datasets
- Implementation model spreading to other states
System Use and Growth

Member Agencies

- Jan-11: 1
- Jul-11: 2
- Jan-12: 9
- Jul-12: 10
- Jan-13: 11
- Jul-13: 12
- Jan-14: 13
- Jul-14: 14
- Jan-15: 20
- Jul-15: 26
- Jan-16: 30
- Jul-16: 36
System Use and Growth

- Approximately 1,200 Users
- 72 Agencies
- 3TB of Documents Stored
System Use and Growth - Michigan

Volume in GBs

Users


Future Opportunities & Challenges

• Big state agency players gaining awareness
  – Long, slow build, lots of false starts
  – Anticipating Archives staffing needs

• Existing clients: lots of room for growth
  – Need to see value and utility

• Uncertain political situations
  – Potential for growth, but also stalling

• Maintaining good communications with private partners
Future Opportunities & Challenges

• Opportunities
  • Local Government Services
  • Cloud based solution integrations

• Challenges
  • Constantly changing security standards and policies
Over-all Lessons Learned

• Take time estimates. Double them.
• Balancing the expectation/enthusiasm scale
• You need point people, internal and external
• Show how it helps them, not you
• The program won’t fix a broken agency
• Communication, Communication, Communication
Over-all Lessons Learned

• Start small, think big
  • Simpler first projects allow the focus to be on designing a configuration and process that can grow and work well for anyone
  • Design security model first.

• Don’t start with a legacy conversion
  • Too many preconceived notions
  • Existing data and document structures can constrict ability to create efficiencies
Questions & Discussion

Kris Stenson
ORMS Administrator
Oregon State Archives

Brice Sample
Records Manager
State of Michigan