



NOAA Fisheries Southeast Regional Office



EDMS/RMA Implementation: How to Survive

Gwendolyn Sanderlin
and
Donna Read, CRM

NOAA Fisheries Service
National Archives and
Records Administration

Jumping In

- Purpose of the ERM Project
- Project/Business Plan
- Choosing hardware/software - Costs
- Things to remember (don't forget to...)
- Records Management
- Litigation Response
- Lessons Learned – The Gotchas!

Purpose of the ERM Project:

- To digitize and store Southeast Regional office (SERO) data in electronic records environment for future utilization in the event of a natural disaster
- Response to litigation and increasing efficiency of operations
- Compliance with COOP and other Presidential Directives and Code of Federal Regulation

Project/Business Plan

- What Does Success Look Like
- Assessment of needs
- Assumptions and constraints
- Scope/deliverables/milestones
- Resources/requirements
- Priorities/schedules
- Training
- Budget
- Risks

IMAGINE

- If you could search emails, Word documents, Excel spreadsheets, and other business data by author, date range, subject matter, and individual words in the text
- Establish document linking relationships, and do this across the agency with total security and access control

Hardware/Software/Licenses Associated Costs

- DoD 5015.2 certified
- Single software platform –
no interfaces required
- Licenses – full client – thin client –
concurrent licenses
- LSAP License Software Assurance Plan

The Buck\$ Start Here

- Software
- Hardware
- Full client license
- Thin client (concurrent users)
- License support
- Upgrades to the software
- Maintenance to server

Laserfiche Software/Licensing

- Laserfiche Repository
- Full User Licenses Desktop/Web Access(5)
- Read Only Licenses Weblink (50)
- Email Module
- Quick Fields Agent
- Records Management
- Workflow
- CD Plus (for FOIA and Litigation Response)
- Bates Stamps Module
- Audit Trail

Email Screenshot

The screenshot shows the 'Options' dialog box with a blue title bar and a close button (X) in the top right corner. On the left is a tree view of settings categories, with 'Outlook' highlighted by a green arrow. The main area is divided into two sections: 'Default Behavior' and 'Field Associations'.

Default Behavior

- Attachments: (dropdown menu)
- Apply e-mail fields to attachments
- File distribution list

Field Associations

Template: (dropdown menu) Default

Field	E-mail Property
Project Name	<none>
Project Manager	<none>
CM Team Member	Sender
NAVFAC Personnel	Sender e-mail
	Recipients
	CCs
	BCCs
	Recipient e-mail
	Subject
	Time sent
	Time received

Reset to default repository settings:

Things to Remember

or

(don't forget to take into account...)

- Physical space
- Infrastructure
- Contracts

Digitizing Concerns

What's Involved in Scanning:

1. Document Prep – pulling staples, removing from folders, removal of rubber bands and any other impediment to automatic sheet feeding
2. Preparation must stay ahead of the scanner operators
3. Scanning needs to include the OCR operation and indexing
4. Manual capture of index fields that allows for faster searching – data entry



NOAA 88-156C (11-93)

Rbase report PRMCOW

UNITED STATES OF AMERICA
 Department of Commerce
National Oceanic and Atmospheric Administration
 National Marine Fisheries Service
 9721 Executive Center Drive N.
 St. Petersburg, FL 33702
 727/570-5326
 http://caldera.sero.nmfs.gov
FEDERAL FISHERIES PERMIT

DATE ISSUED:	EXPIRATION DATE:	LENGTH:	HORSEPOWER:	PASSENGER CAPACITY:
10/14/2004	08/31/2005	36		10

OFFICIAL NUMBER & VESSEL NAME: [REDACTED]	HOMEPORT: MANTEO, NC
OWNER'S NAME & ADDRESS: [REDACTED]	VESSEL IS LEASED FROM:

FISHERIES FOR WHICH VESSEL IS PERMITTED:

- * ATLANTIC DOLPHIN/WAHOO CHARTER/HEADBOAT
- * ATLANTIC DOLPHIN/WAHOO COMMERCIAL
- * S. ATLANTIC CHARTER/HEADBOAT FOR COASTAL MIGRATORY PELAGIC FISH
- * S. ATLANTIC SNAPPER-GROUPER CHARTER/HEADBOAT

REMINDER: PERMIT EXPIRES 08/31/2005
 Permit renewal information will be mailed approximately 60 days prior to the permit expiration date. It is your responsibility to renew your permit whether or not you receive prior notification.

Report any fishery violation to the Southeast Regional Office Law Enforcement hotline 800/853-1964 or Gulf of Mexico-wide call 866.WE.ENFORCE(866/933-6367).

CHS/SC/CDW/ADW

OWNER'S SIGNATURE:	DATE:
---------------------------	--------------



F I L E C O P Y

Thumbnails

Metadata

Fields | Tags | Links | Versions

Template:

Vessel ID (required)
[REDACTED]

Application ID
[REDACTED]

Owner Name (required)
[REDACTED]

Date of Packet

Document Type

Date Coded

Date QC'd

Permit Type 1

Statistics

Branch/Division	Total Number of Folders Scanned	Total Number of Pages	Time Frame	Percentage Completed
Permits	80,000	1.9 million	14 months	100%
Sustainable Fisheries	175	18,000	9 days	100%
Litigation Response	141	200,000	1 to 3 days per case	100%

Records Management

- File plan needs to be mapped to new system
- Culture change for way people work – hard to let go of old processes, trust searching capabilities of software
- Deep dish vs. thin crust

RM Screenshot

The screenshot displays the SERO Laserfiche application window. The main interface includes a menu bar (File, Edit, View, Action, Tools, Records, Window, Help), a toolbar with icons for file operations, and a left-hand 'Folders' pane. The 'Folders' pane shows a tree structure starting with 'SERO', followed by various folders such as '0100 NOAA Permits File Maintenance and Disposition Plan', '0200-09 Credit Card Transactions', and '0200-15 Freedom of Information Act (FOIA) Requesting Files'. The 'FOIA' folder is expanded to show 'FOIA_RM' and other sub-folders.

In the center, the 'Folder Properties' dialog box is open for the path 'SERO\0200-15 Freedom of Information Act (FOIA) Requesting Files\FOIA'. It displays the following information:

- Date created: 8/14/2008 9:35:20 AM
- Last modified: 8/14/2008 9:36:46 AM
- Created by: CPLANKEY
- Checked out by: ---
- # of entries: 1
- Full-text indexed?: ---
- Electronic Document?: No
- Extension: ---
- Type: ---
- Rights for user "GSANDERLIN": BrsReaWriApdDelDshRenCSh5AnAnnRedAccMet

On the right side of the main window, a list of folders is visible, including '0100 NOAA Permits File Maintenance and Disposition', '0200-09 Credit Card Transactions', '0200-15 Freedom of Information Act (FOIA) Reque', '0200-16 Freedom of Information Act (FOIA) Contr', '1503 Environmental Impact Analysis Files', '1504 Fisheries Management & Coordination Files', '1505 Regional Fisheries Development Files', 'ITS', 'Legal - General Council Southeast Region (GCSE)', 'Misc', 'New Folder', 'Reports', 'Scanning Work', 'SF - Sustainable Fisheries Division', 'Support', 'Training Guides', and 'Trash Can'.

In the foreground, the 'Record Folder Properties' dialog box is open for the 'FOIA' folder. It contains the following settings:

- Filing Date: 8/14/2008 (Cannot be later than the folder creation date.)
- Cutoff Instruction: Name: (Inherited from Series), Type: N/A, Cycle: N/A
- Retention Schedule: Name: (Inherited from Series), Hold: N/A, Final Disposition Type: N/A, Req. Superseded: N/A, Final Disposition Location: N/A, Permanent: N/A, Alt. Retention Event: N/A, Keep Metadata: N/A, Alt. Retention Schedule: N/A
- Vital Records: Designate these records as vital, Review Cycle: CY (Calendar Yearly)
- Disposition Authority: Authorized Disposition (GRS 14, 11)

Buttons for 'OK', 'Cancel', and 'Help' are located at the bottom of the 'Record Folder Properties' dialog.

Litigation Response

- First response to request from Legal Department when only 20% into the scanning
- Bates stamping done, burned to CD, provided to Court and Justice Dept. – only one paper copy produced – done in one day
- \$90,000.00 saved in 2 years by using Laserfiche

Electronic Records and the Law

Definition of E-Records

Any information that is recorded in a form that only a computer can process and that satisfies the definition of a Federal record in 44 U.S.C. 3301. This includes Email (36 CFR 1234.2)

It is the Federal Law to Manage Records

Section 3101 of title 44 U.S.C. requires the head of each Federal agency to make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures and essential transactions of the agency...

Legal Partnership

- Received the General Counselor's Award recognizing our efforts in Records Management
- Provided on-going assistance to General Counsel with electronic capturing of documents
- Cost savings to the Region of over \$100,000

Lessons Learned – The Gotchas!

- Doc Prep was not allocated in original Project plan, time, staff, location
- Be careful if you bring a temp service into do doc prep – training issues, turn over
- Keep management informed at more detailed level
- Documenting chronology of project
- Create communication portal for users

Questions?

- Gwendolyn Sanderlin
gwen.sanderlin@noaa.gov
727-551-5709
- Donna Read, CRM
donna.read@nara.gov
727-781-0568