Comptroller of the Currency
Administrator of National Banks

US Department of the Treasury

**WISDM Overview Presentation
RACO 2008, May 6, 2008**

ENSURING A SAFE AND SOUND
NATIONAL BANKING SYSTEM
FOR ALL AMERICANS

- ✓ **Introduction to WISDM**

- ✓ **Business Need for WISDM**

- ✓ **Key Factors in Implementing WISDM (People, Processes, & Technology)**

- ✓ **Critical Success Factors**

- ✓ **Lessons Learned**

- ✓ **WISDM User Views**

- ✓ **Questions**

# WISDM is an integrated document and records management tool that facilitates supervisory activities, search and retrieval, and record-keeping

## Document Manager (DM)

## Records Manager (RM)

**DESCRIPTION**

### Document Manager (DM)

▸ Stores bank examination-related documents in a secure central repository

▸ Allows users to locate documents/records through sophisticated search capabilities

▸ Enables a group of people to store documents in a central location, describe them using consistent criteria, and locate them using those criteria

▸ Applies standard conventions for metadata, taxonomy and document naming

▸ Provides standard templates for key documents with system interfaces to WISDM

▸ Uses role-based permissions and document classifications based on the business unit's Content Security Model

### Records Manager (RM)

▸ Manages bank examination-related records in a secure central repository

▸ Plans for long-term access to electronic records

▸ Automates records management functions

▸ Applies existing records retention and records management policies to electronically stored records

▸ Disposes of final records in compliance with Records Retention Schedule

▸ Allows timely electronic record response to litigation or congressional inquiry and suspension of relevant document and records

▸ Improves Vital Records management

# WISDM fills OCC's business needs for electronic document and records management

## WISDM Business Drivers

▸ OCC customers requested functionality to manage electronic-format documents and records

▸ OCC needed a secure, central place to store electronic examination documents for consistent retention and security across all documents

▸ OCC needed the ability to locate electronic documents quickly and easily when requested by FOIA, Congress, or for legal discovery

▸ OCC is required to ensure that recordkeeping policy is applied correctly and consistently

▸ Large Bank Supervision required new and improved tools to standardize and streamline their business processes, increase the security of bank supervisory data and documents, and provide for improved collaboration and sharing of data among examiners (current) and between federal financial regulatory agencies (future)

▸ Complexity of large bank operations and the current regulatory environment

▸ Enabling and improving collaboration across LBS is critical to allowing the shared insight gained by years of practical, first-hand supervisory experience with banks
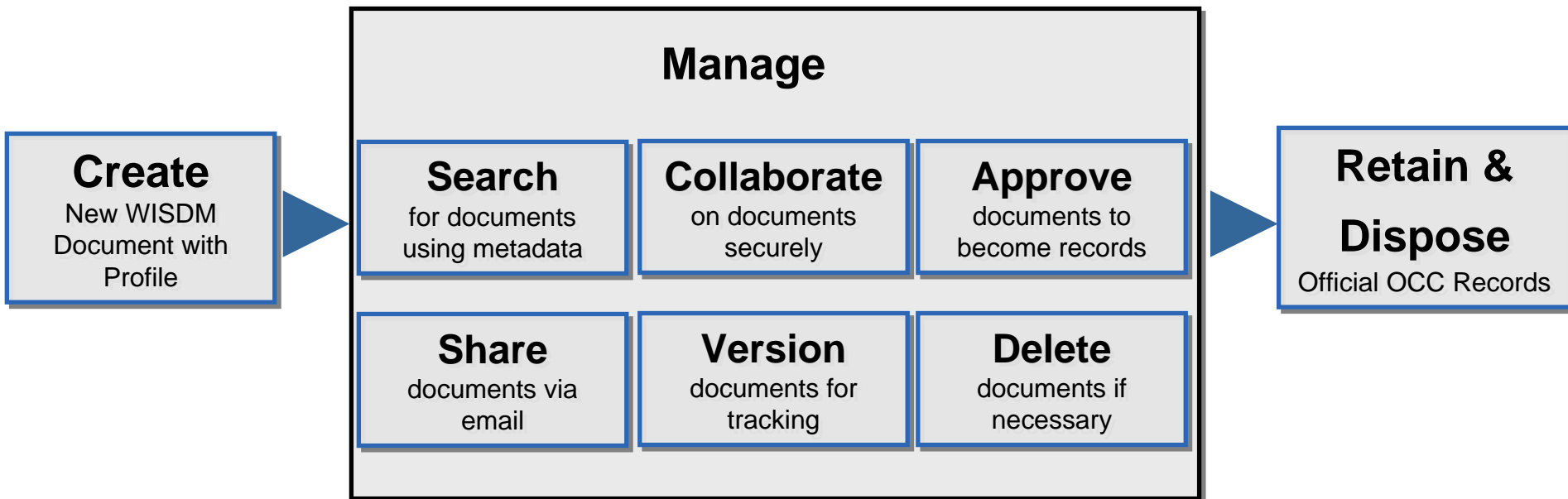
## WISDM Contributions

▸ **Leverages technology as a key enabler for ongoing supervision, examination, and recordkeeping**

▸ **Provides an access tool to standardize and streamline supervisory business processes**

▸ **Ensures efficient document and records management, storage, retrieval and disposition**

▸ **Increases security of bank and supervisory documents and records**

▸ **Improves collaboration and sharing between the community of examiners and supervisors**

**WISDM manages the full lifecycle of each document from creation through business use, to approval as a record, to retention and disposition of the record**
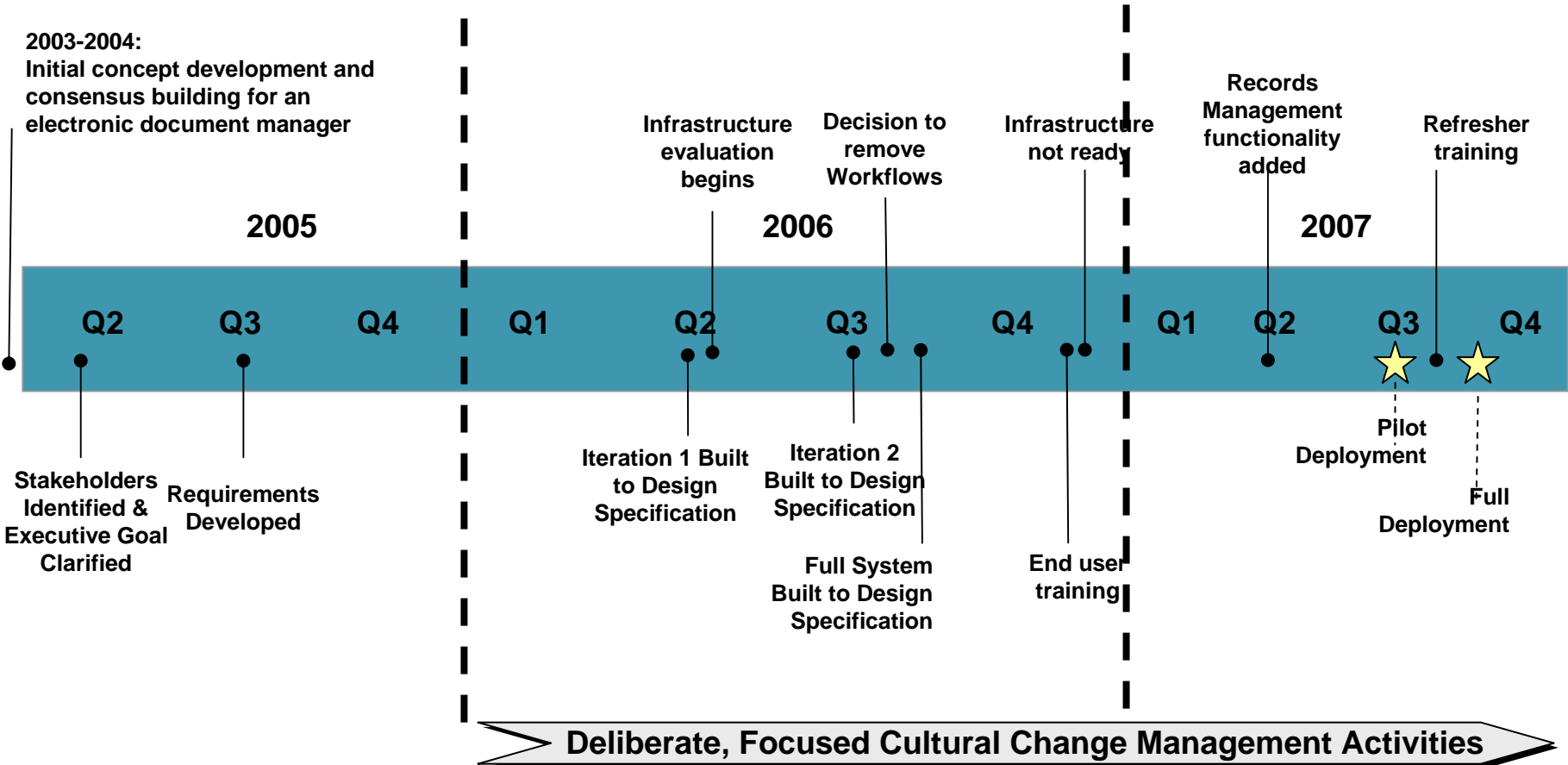
## Manage

| Create | Search | Collaborate | Approve | Retain & Dispose |
|---|---|---|---|---|
| New WISDM Document with Profile | for documents using metadata | on documents securely | documents to become records | Official OCC Records |
| | Share documents via email | Version documents for tracking | Delete documents if necessary | |

**WISDM users include Large Banks Supervision (LBS) and Records Management business units**

✓ LBS Examiners
✓ LBS Support Staff
✓ LBS Management
✓ Records Management Staff

**The business unit and RM collaborated with ITS in a joint team for three years to implement WISDM**

## WISDM Development Timeline

**2003-2004:**
**Initial concept development and consensus building for an electronic document manager**

**Infrastructure evaluation begins**

**Decision to remove Workflows**

**Infrastructure not ready**

**Records Management functionality added**

**Refresher training**

**2005**

**2006**

**2007**

| Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 |

**Stakeholders Identified & Executive Goal Clarified**

**Requirements Developed**

**Iteration 1 Built to Design Specification**

**Iteration 2 Built to Design Specification**

**Full System Built to Design Specification**

**End user training**

**Pilot Deployment**

**Full Deployment**

**Deliberate, Focused Cultural Change Management Activities**

**The joint team employed a holistic approach to system development - integrating technology, process and people for a complete solution**

Commercial off the Shelf Software
- ✓ DoD 5015.2 STD Compliant
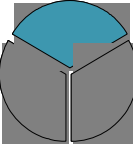- ✓ Interface with legacy system and Active Directory



**Technology**

**People**
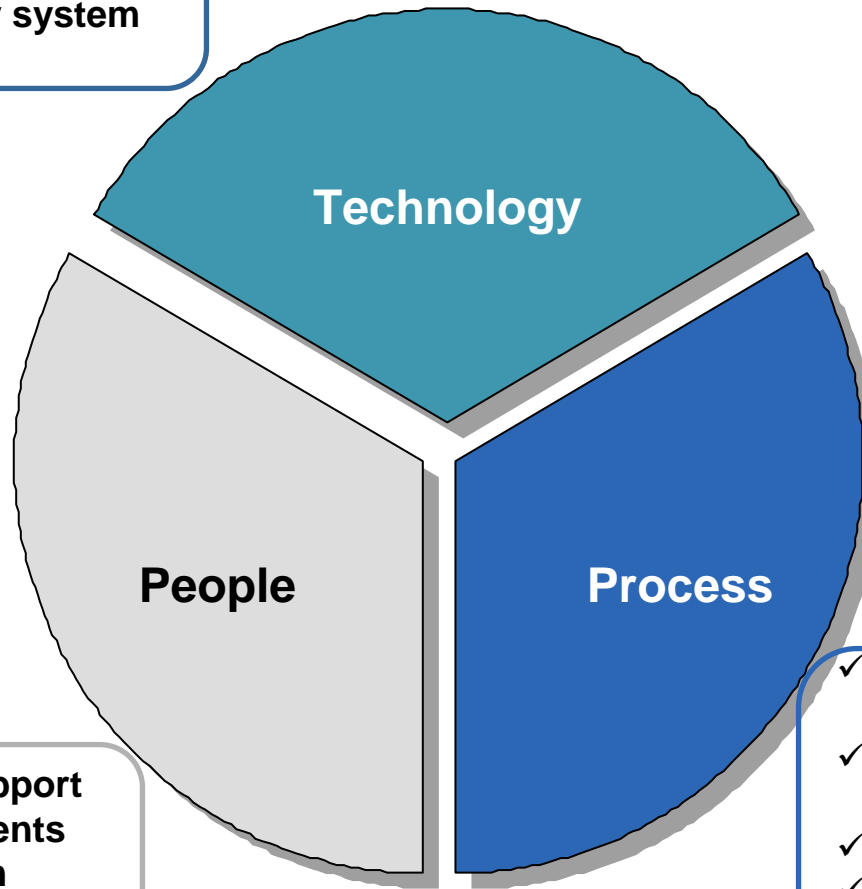
**Process**

- ✓ Senior Leadership Support
- ✓ User-based Requirements
- ✓ Cross-functional Team
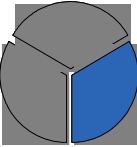- ✓ Continuous Communication, User Outreach, Education

- ✓ Rational Unified Process (RUP)/SDLC
- ✓ Integrated Master Schedule
- ✓ Multiple Workstreams
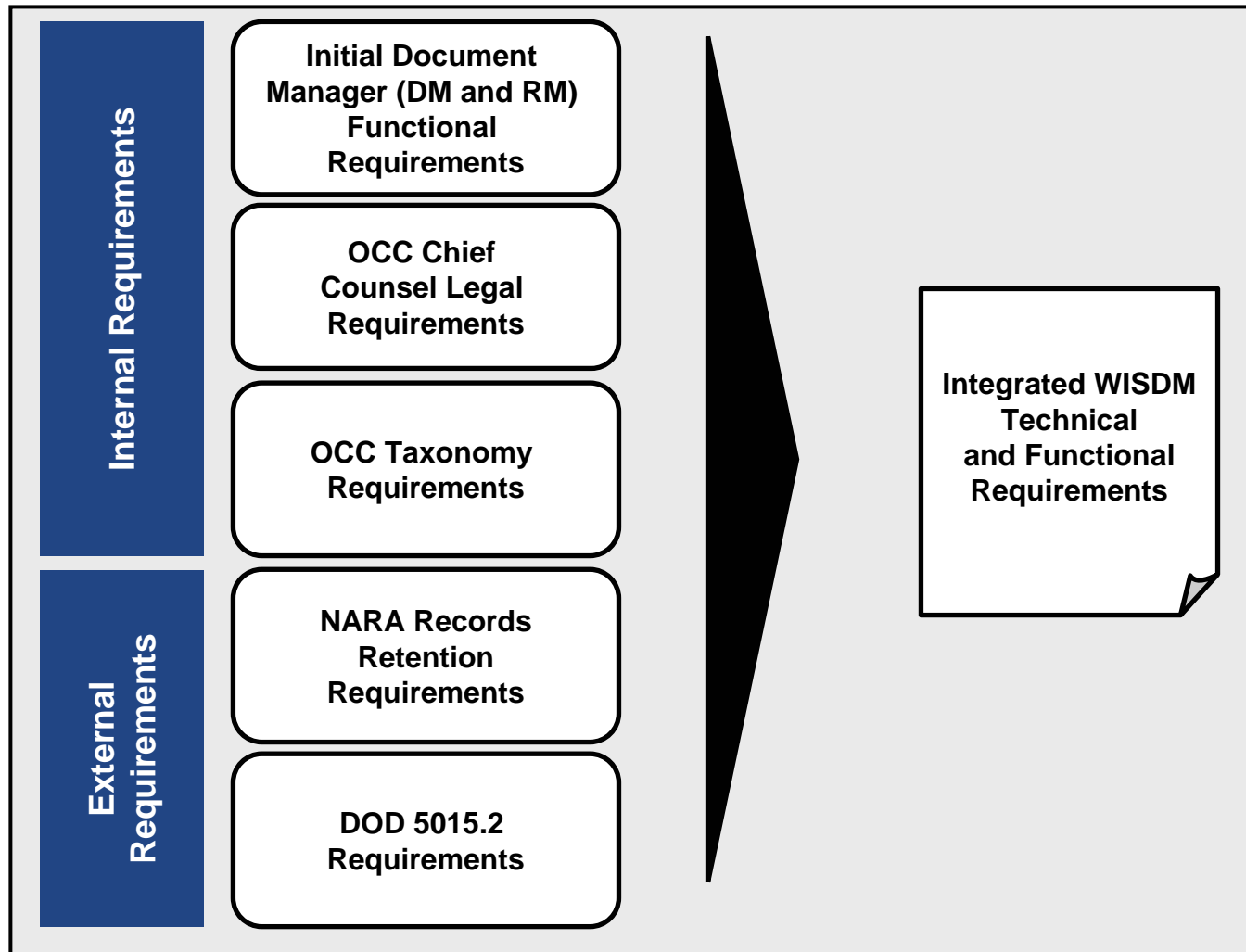- ✓ Consolidated Requirements
- ✓ Phased Deployment

7

Comptroller of the Currency
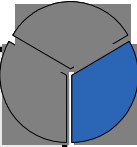Administrator of National Banks

US Department of the Treasury

- **WISDM is a configured installation of Open Text's eDOCS tool**

- **Open Text eDOCs is a DOD 5015.2-compliant, industry-standard document and record management tool used by multiple government agencies as well as private industry**

- **WISDM interfaces with a legacy data management system and Active Directory**

- **WISDM configuration of eDOCs is limited**

  - **Out-of-the-box functionality is stable, vendor-supported and proven**

  - **Provides 95% of desired functions, remaining 5% configured included document profiles and RM records schedule**

  - **No customization**

  - **Minimizes deployment and upgrade costs**

- **Limited changes allowed swift implementation of desired functions**

- **Development followed a Rational Unified Process (RUP)-based model that mapped to OCC's SDLC to create the new system**

**The joint team drew on requirements both internal and external to the business units to develop WISDM as a scalable system for enterprise-wide use**

## Internal and External Requirements

**Internal Requirements**

- Initial Document Manager (DM and RM) Functional Requirements
- OCC Chief Counsel Legal Requirements
- OCC Taxonomy Requirements

**External Requirements**

- NARA Records Retention Requirements
- DOD 5015.2 Requirements

→ Integrated WISDM Technical and Functional Requirements

**To ensure successful rollout and user acceptance, the joint team deployed WISDM in two phases with interim adjustments**
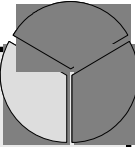
## Pilot Deployment

- **July 2007**
- **Recipients:**
  - Approx. 50 users in 2 locations
- **Accomplishments**
  - Proved successful installation
  - Obtained user feedback for final release at full deployment
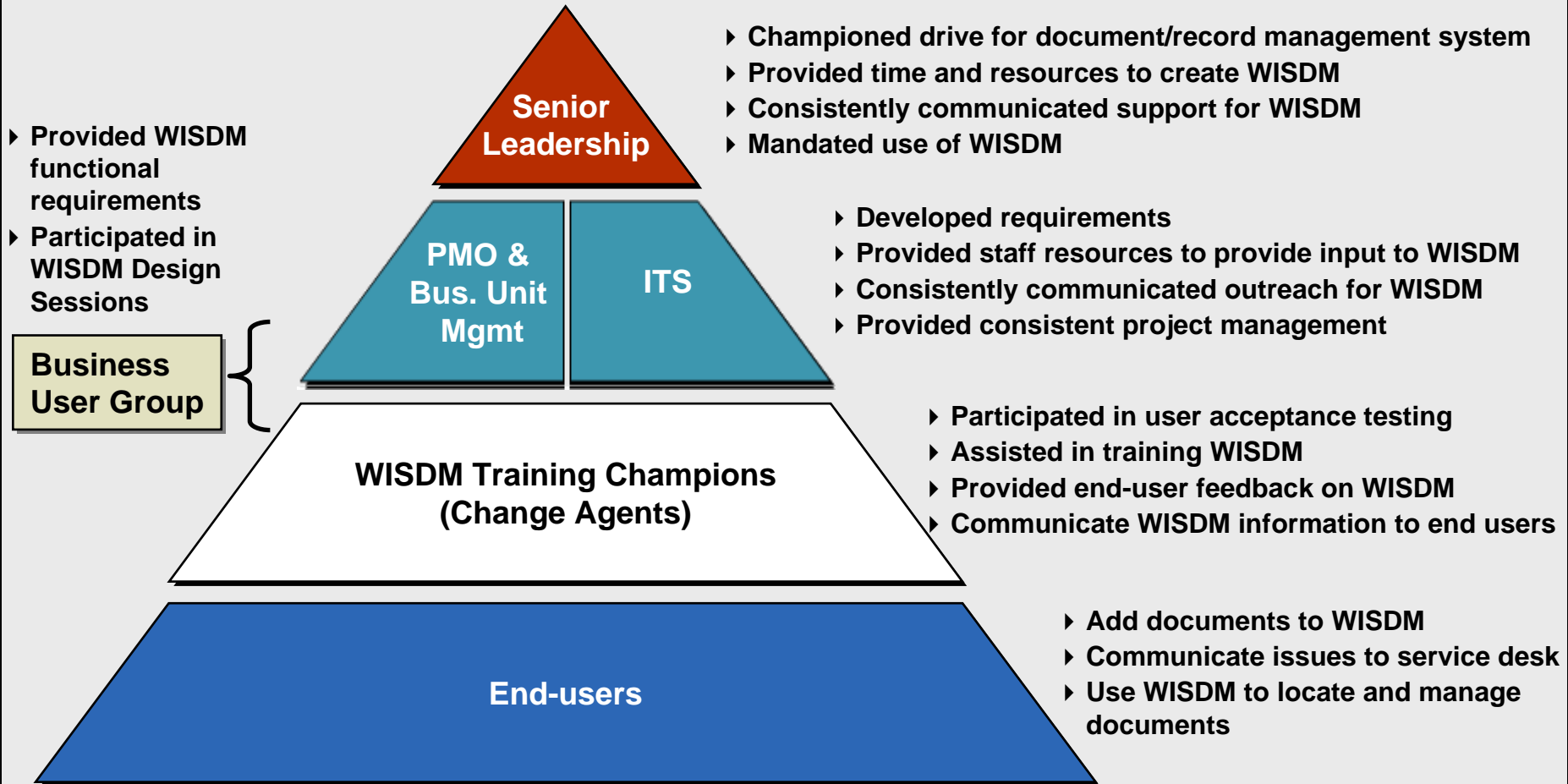  - Showed users a successful rollout

## Full Deployment

- **September-October 2007**
- **Recipients:**
  - Approx. 500 users in 20 locations
- **Accomplishments**
  - Rolled-out new WISDM release incorporating pilot feedback
  - Deployed WISDM to all end-users
  - Gave benefit of pilot experience to deployers and end-users

# OCC leaders initiated, sponsored and supported the WISDM effort, influencing their teams to participate in development
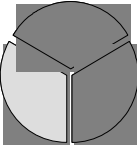
## Flow of WISDM Sponsorship

**Senior Leadership**

‣ Championed drive for document/record management system
‣ Provided time and resources to create WISDM
‣ Consistently communicated support for WISDM
‣ Mandated use of WISDM

‣ Provided WISDM functional requirements
‣ Participated in WISDM Design Sessions

**PMO & Bus. Unit Mgmt**

**ITS**

‣ Developed requirements
‣ Provided staff resources to provide input to WISDM
‣ Consistently communicated outreach for WISDM
‣ Provided consistent project management

**Business User Group**

**WISDM Training Champions (Change Agents)**

‣ Participated in user acceptance testing
‣ Assisted in training WISDM
‣ Provided end-user feedback on WISDM
‣ Communicate WISDM information to end users

**End-users**

‣ Add documents to WISDM
‣ Communicate issues to service desk
‣ Use WISDM to locate and manage documents

- ▶ **Stakeholder analysis and creation of a Communications Plan and Stakeholder Engagement Strategy determined who needed to be informed, key messages, and frequency**

- ▶ **Regular communications and user outreach efforts (e.g., monthly memorandums, demonstrations) kept users engaged early and often throughout system development**

- ▶ **Post-deployment ongoing communications include emailed Tips & Tricks and regular Training Champion teleconferences**

▸ **Learning development directed hands-on practice for system tasks essential to the user's job role**

▸ **Varied training mechanisms addressed a range of learning preferences, from self-paced e-learning to instructor-led training (ILT)**

▸ **Training delivery was a multi-phase effort, educating users in stages culminating in an intense drive just before deployment**

▸ **Ongoing learning efforts include refresher computer-based training (CBT), WISDM Webinar series**

# Success can be attributed to the technology, processes, and people used to implement it

## "75% of e-business initiatives fail."

-Gartner Group Study, 2005

### *Why was WISDM successful?*

**Cross functional sponsorship and management**

▸ Sponsorship by agency's key division (for OCC: Large Bank Supervision)
▸ Close collaboration between IT and business unit
▸ Active senior leadership sponsorship and ongoing support
▸ Assignment to WISDM development of appropriately-scoped, dedicated resources with the technical and business-oriented skill-sets

**Industry-standard software**

▸ Careful measurement of potential solutions against requirements
▸ Use of industry-standard, DoD 5015.2 compliant tool
▸ Tool provided full document/records management functionality with little customization

**User-initiated requirements**

▸ Development and validation of requirements by end-users
▸ Careful technical change management and control throughout development lifecycle

**Sustained cultural change management**

▸ Sustained cultural change management effort to promote adoption and ownership, beginning from project inception
▸ Continuous analysis of barriers to change and mitigating efforts
▸ Liaison between users and integrators to ensure user concerns appropriately communicated
▸ Use of change agents (e.g., Training Champions) to "cascade" change through organization

# Multiple workstreams contributed start-to-finish support to system development
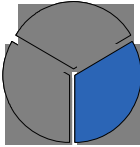
## WISDM Workstreams

## Responsibilities

**1** **Requirements & Design**
- ✓ Requirements management and tracking (2 tracks – DM and RM)

**2** **Development & Integration**
- ✓ System build and integration with existing OCC systems, defect correction

**3** **Change Management & Training**
- ✓ Planning and delivering cultural change management and training efforts

**4** **Testing**
- ✓ Test Case/Script development, performance testing, defect identification and tracking

**5** **Operations and User Support**
- ✓ Front-line support for WISDM users

**6** **Project Management & Oversight**
- ✓ Delivery coordination, risk management, EVM budget and schedule management, IV & V, auditing and configuration management

**7** **Security**
- ✓ Ensuring technical security of system

# The joint team took several lessons away from the development effort; key items appear here

## *Recipe for Success*

**Collaboration**

▸ Build solid relationships among key project leaders
▸ Establish and agree upon clear roles and responsibilities of key project leaders

**Risk Management**

▸ Develop and adhere to schedule / structured methodology for system development; don't underestimate time required for planning
▸ Employ phased deployment to catch and resolve early issues before general deployment
▸ Clearly define procedures for escalating risks to appropriate stakeholders
▸ Clearly state impact of risks on schedule, costs and product quality

**Scope Management**

▸ Make technical and functional requirements specific, testable, and measurable
▸ Build in bite-sized pieces with the end goal of enterprise-wide use in mind
▸ Be realistic about what can be reasonably implemented and absorbed by the target user community
▸ Recognize that new issues will continue to arise, and work them into requirements and ongoing development (future enhancements)

**User Involvement**

▸ Understand and address stakeholders' needs and comfort levels before system deployment
▸ Provide frequent opportunities for feedback on prototypes and requirement documentation
▸ Involve stakeholders early and often

*WISDM is currently in use by two OCC business units, Large Banks Supervision and the Records Management group, with plans to expand to an enterprise-wide solution*

| ✔ | Quarterly releases will continue to enhance WISDM functionality |
|---|---|
| ✔ | Other business units within OCC have requested access to store, locate, and collaborate on documents and records in WISDM; other legacy systems need recordkeeping functionality |
| ✔ | External agencies have expressed interest on obtaining access to WISDM for research purposes |
| ✔ | WISDM faces a few challenges in the road ahead:<br>• Electronic signatures for official records<br>• Integration of new technologies to add capabilities such as workflow, Smart Documents, and new interfaces<br>• Ongoing performance improvements across a geographically distributed user base<br>• Long-term preservation of records |

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# We will show the following:

➢ How to save a document WISDM

➢ How to add metadata to a WISDM Document Profile

➢ How to declare a record in WISDM

➢ How to manage the File Plan (Records Schedule) in WISDM

**User Views**
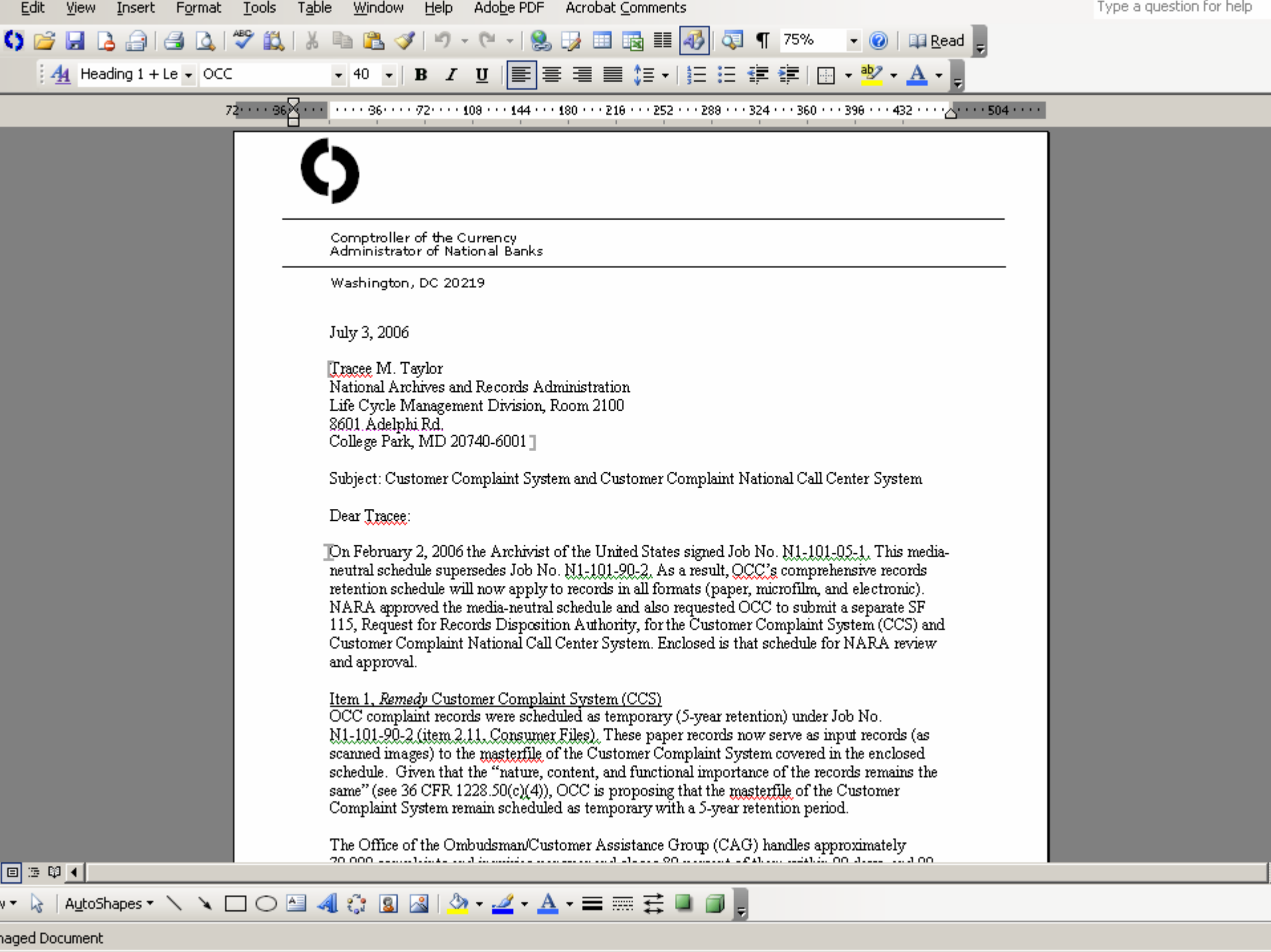
Comptroller of the Currency
Administrator of National Banks

Washington, DC 20219

July 3, 2006

Tracee M. Taylor
National Archives and Records Administration
Life Cycle Management Division, Room 2100
8601 Adelphi Rd.
College Park, MD 20740-6001

Subject: Customer Complaint System and Customer Complaint National Call Center System

Dear Tracee:

On February 2, 2006 the Archivist of the United States signed Job No. N1-101-05-1. This media-neutral schedule supersedes Job No. N1-101-90-2. As a result, OCC's comprehensive records retention schedule will now apply to records in all formats (paper, microfilm, and electronic). NARA approved the media-neutral schedule and also requested OCC to submit a separate SF 115, Request for Records Disposition Authority, for the Customer Complaint System (CCS) and Customer Complaint National Call Center System. Enclosed is that schedule for NARA review and approval.

Item 1, *Remedy* Customer Complaint System (CCS)
OCC complaint records were scheduled as temporary (5-year retention) under Job No. N1-101-90-2 (item 2.11, Consumer Files). These paper records now serve as input records (as scanned images) to the masterfile of the Customer Complaint System covered in the enclosed schedule. Given that the "nature, content, and functional importance of the records remains the same" (see 36 CFR 1228.50(c)(4)), OCC is proposing that the masterfile of the Customer Complaint System remain scheduled as temporary with a 5-year retention period.

The Office of the Ombudsman/Customer Assistance Group (CAG) handles approximately

Normal  Times New Roman  12

75%  Read
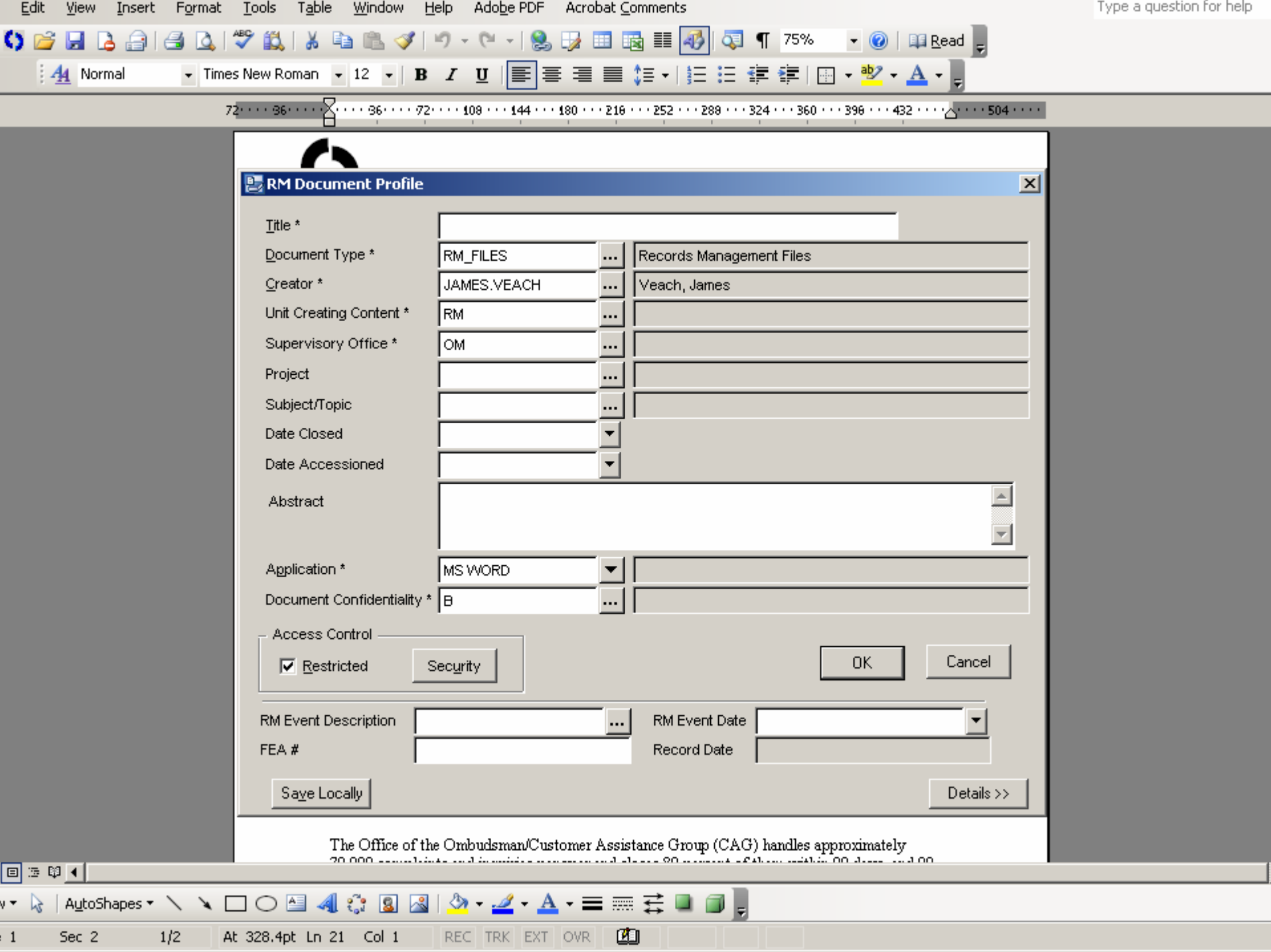
## RM Document Profile

Title *

Document Type *  RM_FILES  ...  Records Management Files

Creator *  JAMES.VEACH  ...  Veach, James

Unit Creating Content *  RM  ...

Supervisory Office *  OM  ...

Project  ...

Subject/Topic  ...

Date Closed

Date Accessioned

Abstract

Application *  MS WORD

Document Confidentiality *  B  ...

**Access Control**

☑ Restricted  Security

OK  Cancel

RM Event Description  ...  RM Event Date

FEA #  Record Date

Save Locally  Details >>

The Office of the Ombudsman/Customer Assistance Group (CAG) handles approximately

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Windows Explorer DM Extension\<Recently Edited Documents>

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    - Applications
    - <Recently Edited Documents>
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    - Favorite Workspaces
    - OCCDMRM_STG
    - Attaché
  - BI RM Reports

| | Doc # | Document Name | Edit Date ▽ |
|---|---|---|---|
| | 1380 | JBV WISDM Demo Test Doc May 6 2008 | 4/27/2008 7:31:34 PM |
| | 1366 | JBV Consignment (1366) | 4/23/2008 4:15:30 PM |
| | 1360 | Preparing Your File Plan - RM Web Page FINAL 1-2007 | 4/23/2008 12:40:59 PM |
| | 1359 | File Plan Review Guidance FINAL AMENDED 4-2007 | 4/23/2008 12:40:42 PM |
| | 1358 | Field Office File Plan Template FINAL 1-2007 | 4/23/2008 12:40:30 PM |
| | 1356 | RE Treasury Order 101-31 and departing employees JBV demo | 4/23/2008 12:10:16 PM |
| | 1355 | Pre-Exit Separation Analysis-Linda-Consolidated Version JBV demo | 4/23/2008 12:09:44 PM |
| | 1354 | Old Preexit ppm-3110-35 JBV demo | 4/23/2008 12:09:32 PM |
| | 1353 | Citibank-Republic_P&A | 4/23/2008 12:08:05 PM |
| | 1352 | Articles_of_Assn_--_Citibank | 4/23/2008 12:07:18 PM |
| | 884 | (A), Records Management'/'1-Official Files of OCC Offices'/'1.02.c  OCC Off... | 4/1/2008 3:59:48 PM |
| | 883 | 2008/372 - 1.02.c  OCC Offices – Routine Files, Records Management'/'1-O... | 4/1/2008 3:59:47 PM |

**Profile:**

| Field | Value | | |
|---|---|---|---|
| Title * | JBV WISDM Demo Test Doc May 6 2008 | Doc # | 1380 |
| Document Type * | RM_FILES | ... | Records Management Files |
| Creator * | JAMES.VEACH | ... | Veach, James |
| Unit Creating Content * | RM | ... | RECORDS MANAGEMENT |
| Supervisory Office * | OM | ... | OFFICE OF MANAGEMENT |
| Project | | ... | |
| Subject/Topic | | ... | |
| Date Closed | | | |
| Date Accessioned | | | |
| Abstract | | | |
| Application * | MS WORD | ... | Microsoft Word |
| Document Confidentiality * | B | ... | LBS Documents |

Access Control

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  - Public Folders
  - File Plan
    - Large Bank Supervision
    - Records Management
      - 1-Official Files of OCC Offices
      - 2-Bank Administration and Legal Records
      - 3-Operational Records
      - General Records Schedule (GRS)
        - GRS 01.18.a  Supervisors Personnel Files
        - GRS 03.03.a.1.a  Routine Procurement Files
        - GRS 09.03.a  Noncommercial, Reimbursable Travel Files
        - GRS 16.01.a  Administrative Issuances – Routine Functions
        - GRS 16.02.a.1  Records Disposition Files – Approved SF115s
        - GRS 16.02.a.2  Records Disposition Files – Other Records
        - GRS 16.03.a  Forms Files
        - GRS 16.07  Records Management Files
        - GRS 18.27  Emergency Planning Files – COOP Files
        - GRS 23.01  Office Administrative Files
        - GRS 23.08  Tracking and Control Records
    - Attaché

| | Name △ | Document Name |
|---|---|---|
| | (L)GRS 16.07  Records Management Files | (A), Records Management'/'( |

Name * : (L)GRS 16.07  Records Management Files

Part # : (A)

File Part # : 2008/306(A)

Description : OFFICIAL NAME:  Records Management Files
DESCRIPTION:  Correspondence, reports, authorizatio...

Section :

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Generic d...

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Easy Search: #725

Find | Profile Search | OK | Cancel

- GRS 23.01  Office Administrative Files
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Address | Windows Explorer DM Extension\OCCDMRM_STG\File Plan\Large Bank Supervision\2-Bank Administration and Legal Records\2.03.a Records of Supervisory Activities – Active\(L)2.03.a Records of Supervisory Activities – Active | ▼ | → Go

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      - ⊞ Quick Searches
      - ⊞ Public Folders
      - File Plan
        - Large Bank Supervision
          - ⊞ 1-Official Files of OCC Offices
          - 2-Bank Administration and Legal Records
            - 2.03.a  Records of Supervisory Activities – Active
              - (L)2.03.a  Records of Supervisory Activities – Active
            - ⊞ 2.03.c  Records of Supervisory Activities – Inactive TSPs
            - ⊞ 2.03.d  Records of Supervisory Activities – Special Case
            - ⊞ 2.04.a.1  Bank Examination Work Papers – Active (except CRA)
            - ⊞ 2.04.a.2  Bank Examination Work Papers – CRA Examinations
            - ⊞ 2.04.b  Bank Examination Work Papers – Inactive
            - ⊞ 2.05  Inactive Bank Case Files
          - ⊞ General Records Schedule (GRS)
        - ⊞ Records Management
  - Attaché
  - BI RM Reports

| ▯ | Name △ | Document Name | Application | Author Name |
|---|--------|---------------|-------------|-------------|
| | Donna's UAT Document | Donna's UAT Document | MS WORD | Blankenship, Donna |
| | Donnas UAT Test | Donnas UAT Test | MS WORD | Blankenship, Donna |

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| 1 | 4/24/2008 3:58:15 PM | Read-only | DONNA.BLANKENSHIP | DONNA.BLANKENSHIP |

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# Questions?

**Office of the Comptroller of the Currency (OCC)**
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**202-874-5076**
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