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Electronic Records

➢Every state agency creates electronic public records and they all have multiple users handling these records by creating, changing, retrieving, copying, or deleting information.

➢However the electronic information is not always identified as a record.

➢An agency can encounter problems when it tries to retrieve or produce a complete record. When records are requested and cannot be produced it places the State at risk.

➢The CERR will provide an enterprise solution to effectively manage inactive electronic records that are critical to protecting the rights and interests of our citizens and the State as well as to ensure the capture and preservation of electronic historical records.

Importance of Data Governance

➤ Data governance is really about properly managing data, information and knowledge as a state asset and resource. Such an asset requires careful handling because it forms the basis upon which decision making is founded. That decision making touches every aspect of state government and impacts the lives and well being our state citizens.

What is the CERR?

➢ The CERR is an electronic records management system (ERMS) which is one component of an enterprise content management (ECM) solution.

➢ The CERR will have the ability to ingest inactive electronic records.

➢ This will be a multi-phase, multi-year project that supports the management of electronic records.

Purpose of CERR

➢ The CERR is a tool to unify the management of physical and electronic records.

➢ The central ideas of enterprise management – retention and disposition, file plan, security and metadata apply equally to electronic and physical records.

➢ The CERR will allow SRCA to provide state agencies with the service of storing inactive electronic records.

State Records Center

➢ SRCA currently provides state agencies and local governments with secure storage facilities for inactive records in paper and microform format.

➢ Physical records stored with SRCA have metadata that allow for quick access, audit, and security protocols.

➢ SRCA currently uses an aging software application that is no longer supporting the needs of the agency.

CERR Project Overview

➢ Project description:
- The CERR project is divided into three phases:
  1. Needs assessment
  2. Implementation
  3. Closeout

➢ Phase One budget:
- Appropriation language for FY09 stated, "To implement a commercial off-the-shelf centralized records repository system with assistance from the department of information technology." ($150,000)
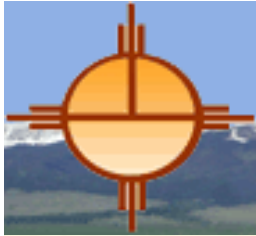
Project Progress

➢February, 2008: New Mexico Legislature Approved Funding for Phase One (needs assessment) of the CERR project.

➢April, 2008: SRCA formed the CERR Project Team consisting of 11 members that is comprised of members from different disciplines.

➢May, 2008: The CERR Project Team presented the CERR Project Initiation document to the New Mexico Department of Information Technology Project Certification Committee. The $150,000 appropriated by the 2008 New Mexico legislature for Phase One of the CERR project was officially certified by a unanimous vote.

➢September, 2008: The CERR contracts for the needs assessment vendor and the project manager are signed and finalized.

Phase One – Needs Assessment

➢ "As Is" Assessment – research, analysis and documentation of current SRCA business processes.

➢ "To-Be" Assessment – workflow analysis of SRCA business processes and recommendations for improving efficiency and effectiveness.

➢ Staffing Analysis – determination if SRCA has optimal staffing in key divisions to support the CERR.

➢ Recommendations – on hardware, software, third-party integrators, migration strategy, IT architecture for the CERR, proposed system requirements & functionality, possible software solutions (COTS), bandwidth requirements, and storage space for current & future needs.

Phase One Timeline
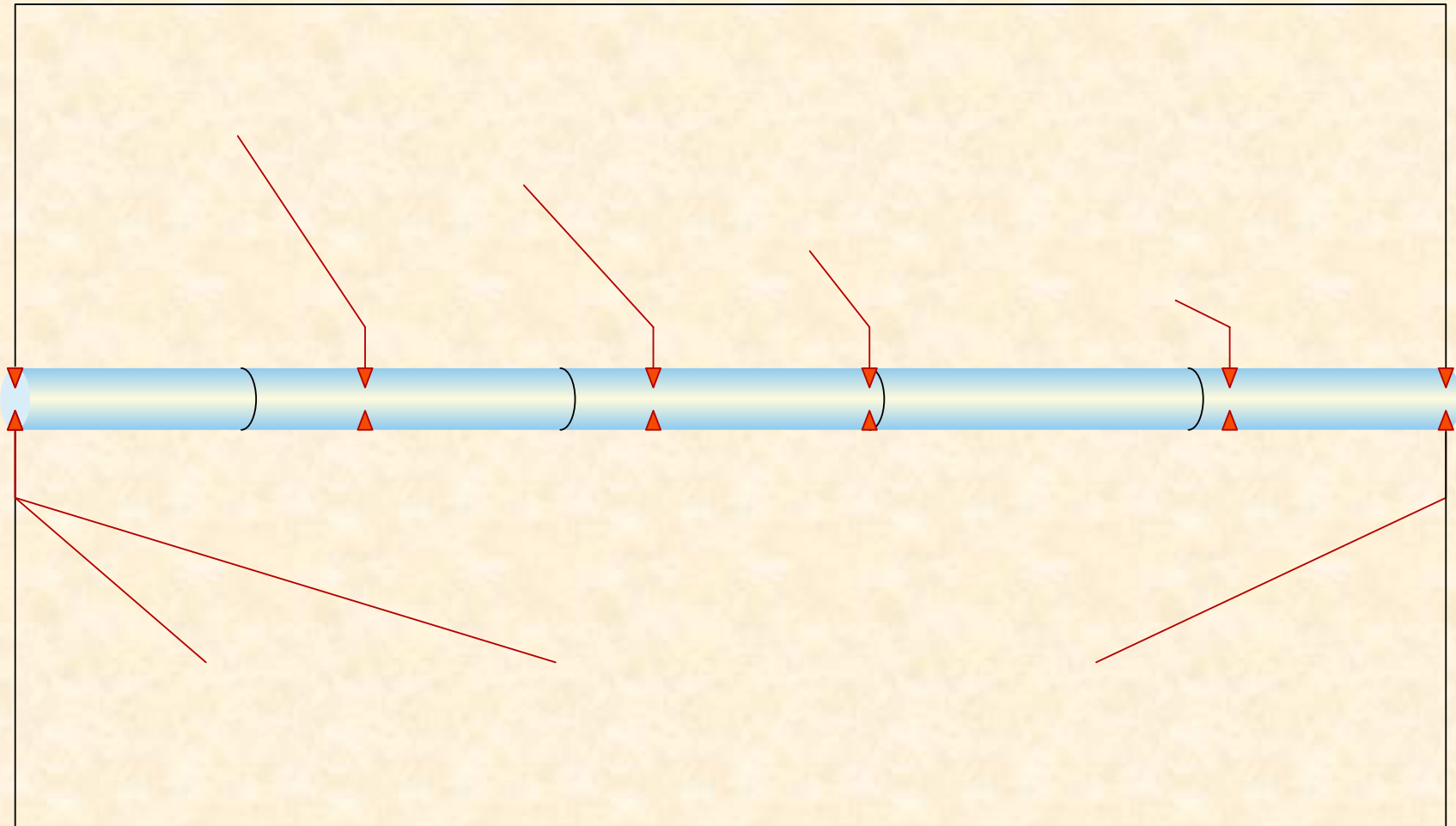
Phase Two - Implementation

➢Issue RFP for software and hardware
➢Selection of integrator services vendor
➢Determine location where CERR will be hosted
➢Selection of and meetings with Independent Verification & Validation (IV&V) vendor
➢Procurement of software and hardware
➢Customization of software to fit SRCA needs
➢Deployment of CERR to a test environment
➢End user training
➢End user testing of the application
➢Data Migration
➢Production implementation of the CERR

Phase Two Budget Request
$1,370,000.00
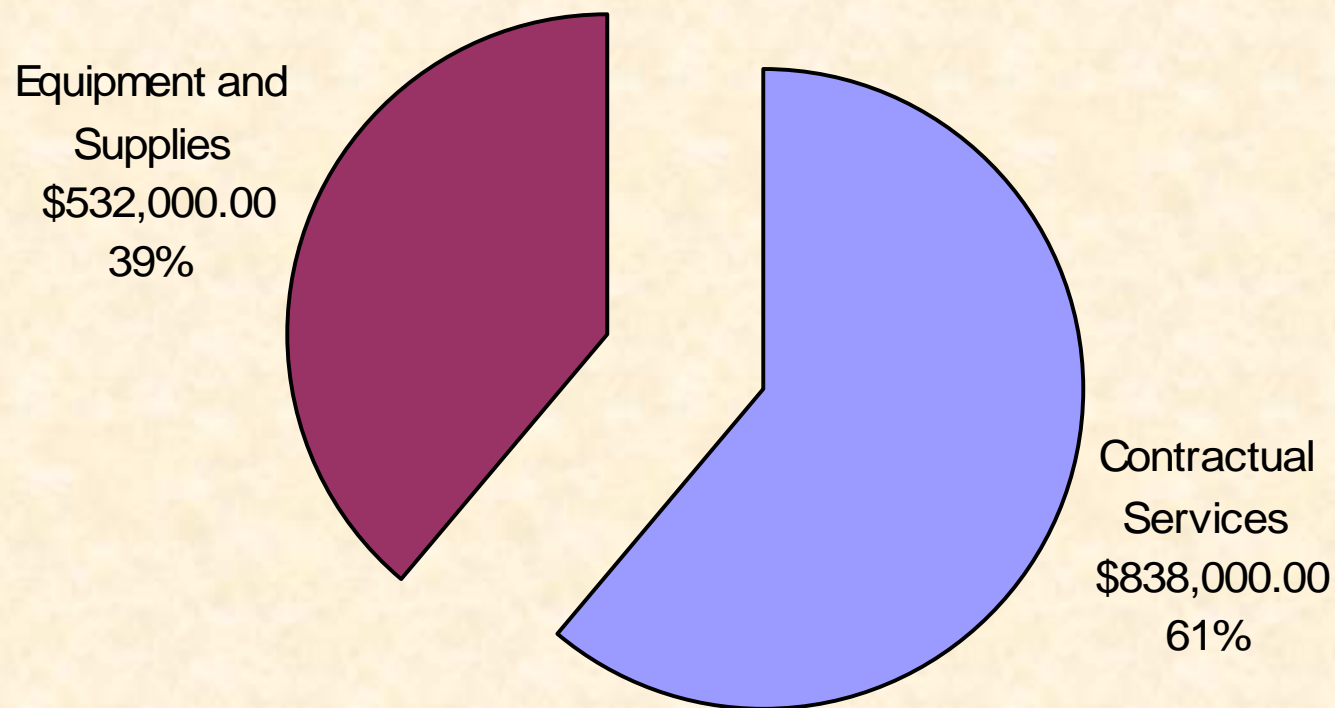
Equipment and
Supplies
$532,000.00
39%

Contractual
Services
$838,000.00
61%

Phase Two Budget Break-down
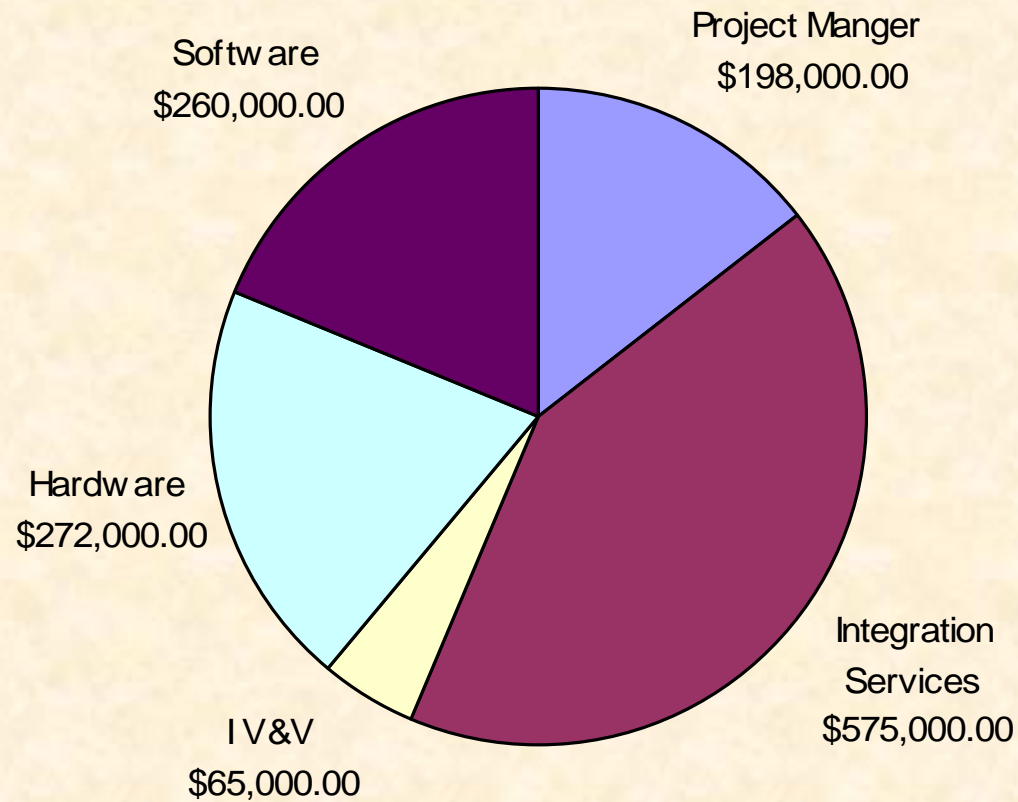
Phase Two – Project Management Cost Estimate

➢ These monies will used to hire a full-time certified project manager.
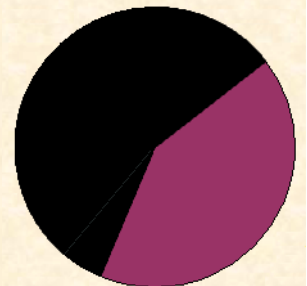
➢ Budget Request: $198,000.00
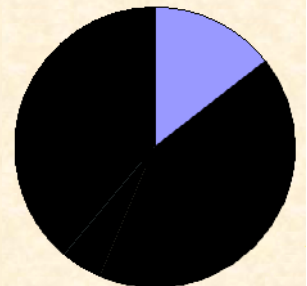
Phase Two Integration Services Cost Estimate

➢Provides deployment of commercial off the shelf (COTS) solution required to support specific business needs.
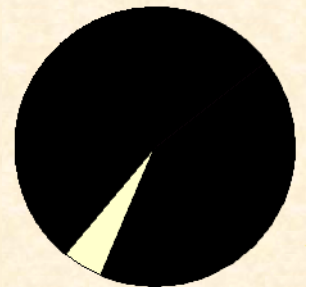
➢Budget Request: $575,000.00

Phase Two Independent Verification and Validation Cost Estimate

➢The selected Independent Verification and Validation vendor will be responsible for ensuring that the CERR meets specifications and that it fulfils its intended purpose.
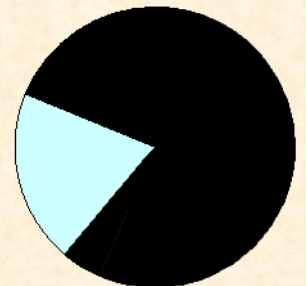
➢Budget Request: $65,000.00

Phase Two Hardware Cost Estimate

Procurement of hardware for the CERR is contingent upon:

➢Completion and recommendations of the Phase One needs assessment.
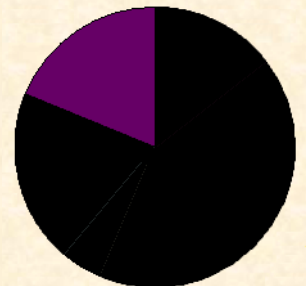
➢Budget Request: $272,000.00

Phase Two Software Cost Estimate

Procurement of software for the CERR is contingent upon:

➤Completion and recommendations of the Phase One needs assessment.
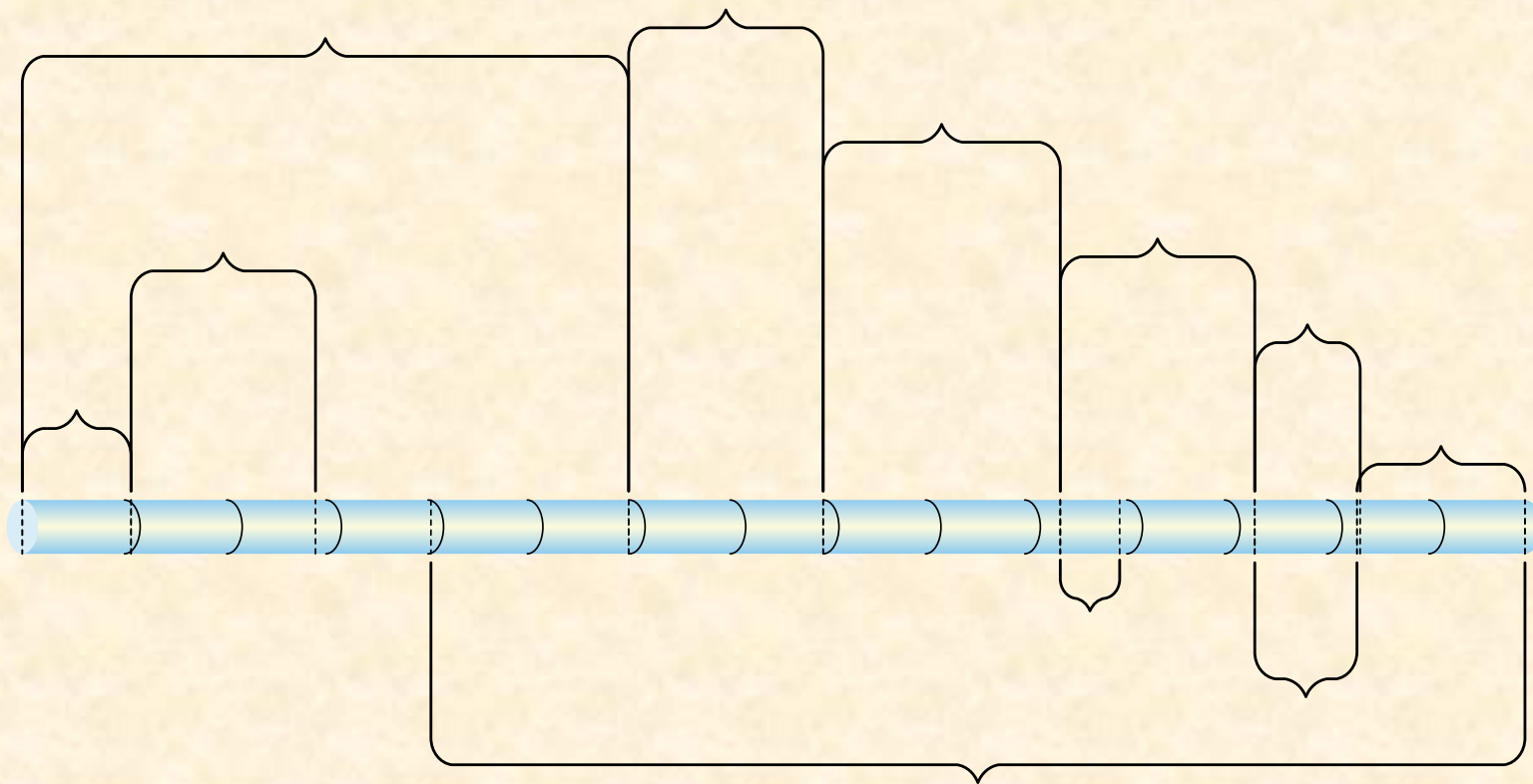
➤Budget Request: $260,000.00

Phase Two Projected Timeline

7/1/2009 - 1/1/2010

Phase Three - Closeout

➢ Acceptance of CERR system
➢ Complete system documentation
➢ Completion of IV&V
➢ SRCA closeout of the project

Phase Three Projected Timeline
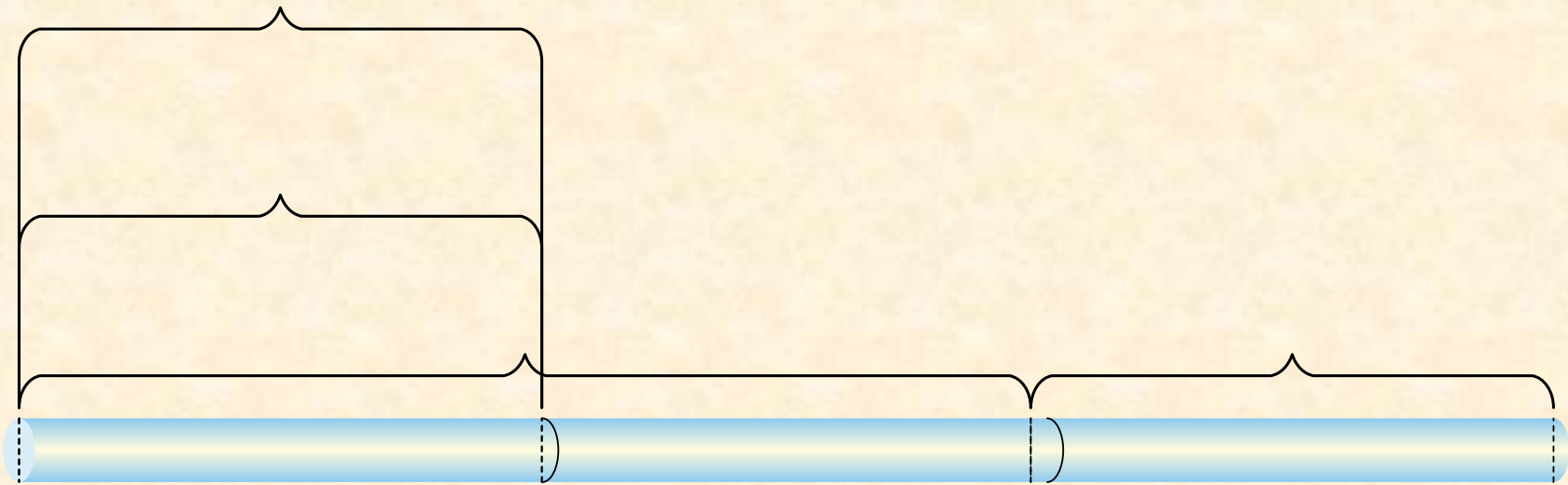
State Government Update

➤ The State of Oregon has created "Communities of Practices" (CoPs) under the state's CIO Council in a number of disciplines. Each CoP is a collaborative group of experts and stakeholders who are brought together to examine a specific area of government and develop a common enterprise approach to improvements in the specified area. To address the need for an Electronic Records Management System, the Oregon CIO Council created a CoP to explore that issue.

➤ The state of North Dakota EDMS applications are being deployed via the Information Technology Department to create consistencies across the State of North Dakota. The cost for implementing an EDMS solution varies depending on the extent to which applications will be used by the agency.

Federal Government Update

➢ Bill targets messy e-records - The federal legislation introduced last month would require federal agencies to preserve electronic communications in an electronic format.

➢ The Electronic Communications Preservation Act (H.R. 5811) that House members are considering would standardize agency procedures for maintaining electronic records.
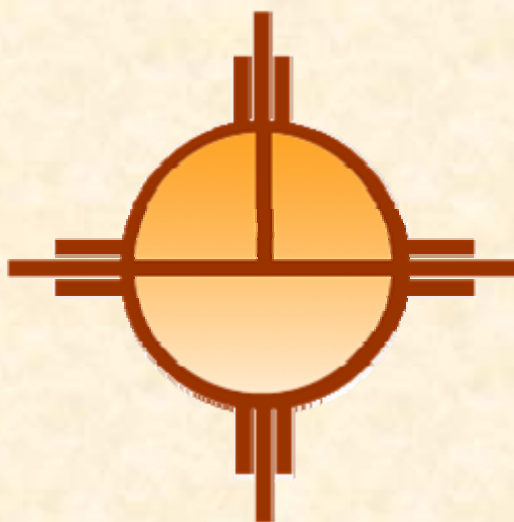
The proposed law has these requirements.

1. Electronic records would be captured, managed and preserved.

2. Electronic records would be accessible and searchable.

3. The government's Archivist would set mandatory minimal functional requirements for electronic records management systems.

Thank You!