Managing the Tide of Information

A ROLE-BASED MANAGEMENT STRATEGY

Laura Carter
Records and Information Specialist
VT Department of Corrections

Lucas Herring
IT Director
VT Agency of Digital Services

Current Discussion

01

Introduction to Role-Based Management

02

Establishing a Role-Based Strategies

03

Department Case Studies

04

Lessons Learned

05

• Next Steps

Current Discussion

01

Introduction to Role-Based Management

ROLE-BASED MANAGEMENT: managing records and information based on an employee's specific job duties (or role) within an agency/department.

IN THE STATE OF VERMONT

ELECTRONIC INFORMATION = PUBLIC RECORDS

1 V.S.A. § 317a

As Vermont State Employees,

we are responsible for ensuring that we are doing our due diligence to manage the records we create and receive daily.

Admin Services Technician III

Performs a variety of office support duties such as designing forms, surveys; preparing, checking and maintaining records, procuring office supplies, and preparing reports involving the use of multi-faceted office practices and procedures requiring interpretation and/or initiative.

Current Discussion

02

Establishing a Role-Based Strategies

Establishing a Role-Based Management Strategy

PROJECT FOCUSED

- Establish timelines for review
- Start with low-hanging fruit to demonstrate success

BEST PRACTICES/RESOURCES

- Policy 252
- Statute 3 V.S.A. 218
- VSARA-Approved Specific Record Schedules (SRS)
- ARMA Standards

WHY IS THIS IMPORTANT

- Accessibility/saving time
- Efficient workflows and offboarding process
- Litigation/lawsuits
- Cost savings
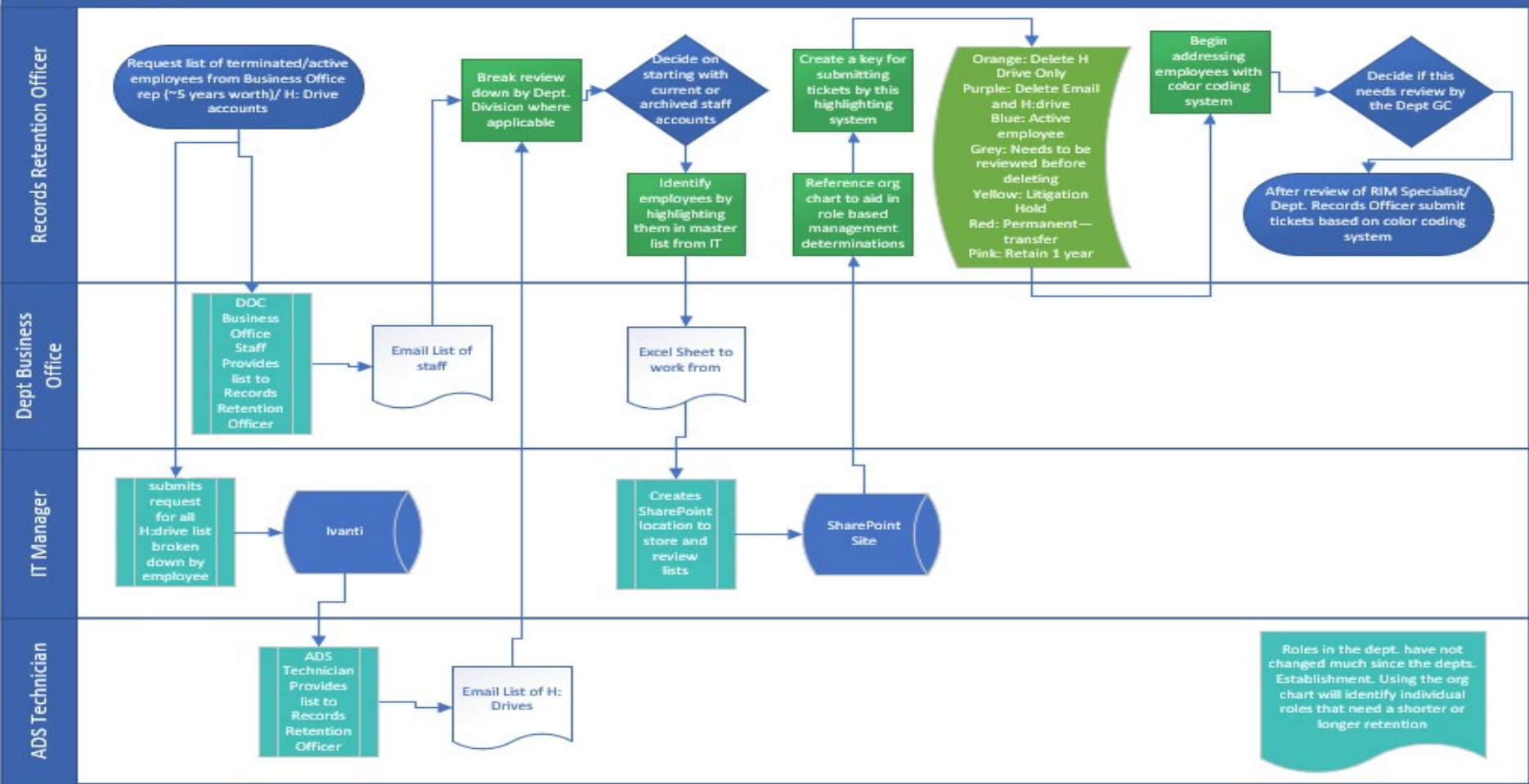
03

Department
Case Studies

H: DRIVES

THE FIRST WAVE

H: Drives

Role-Based Management

H: Drive Review Process

Records Retention Officer
- Request list of terminated/active employees from Business Office rep (~5 years worth)/ H: Drive accounts
- Break review down by Dept. Division where applicable
- Decide on starting with current or archived staff accounts
- Identify employees by highlighting them in master list from IT
- Create a key for submitting tickets by this highlighting system
- Reference org chart to aid in role based management determinations
- Orange: Delete H Drive Only; Purple: Delete Email and H:drive; Blue: Active employee; Grey: Needs to be reviewed before deleting; Yellow: Litigation Hold; Red: Permanent—transfer; Pink: Retain 1 year
- Begin addressing employees with color coding system
- Decide if this needs review by the Dept GC
- After review of RIM Specialist/ Dept. Records Officer submit tickets based on color coding system

Dept Business Office
- DOC Business Office Staff Provides list to Records Retention Officer
- Email List of staff
- Excel Sheet to work from

IT Manager
- submits request for all H:drive list broken down by employee
- Ivanti
- Creates SharePoint location to store and review lists
- SharePoint Site

ADS Technician
- ADS Technician Provides list to Records Retention Officer
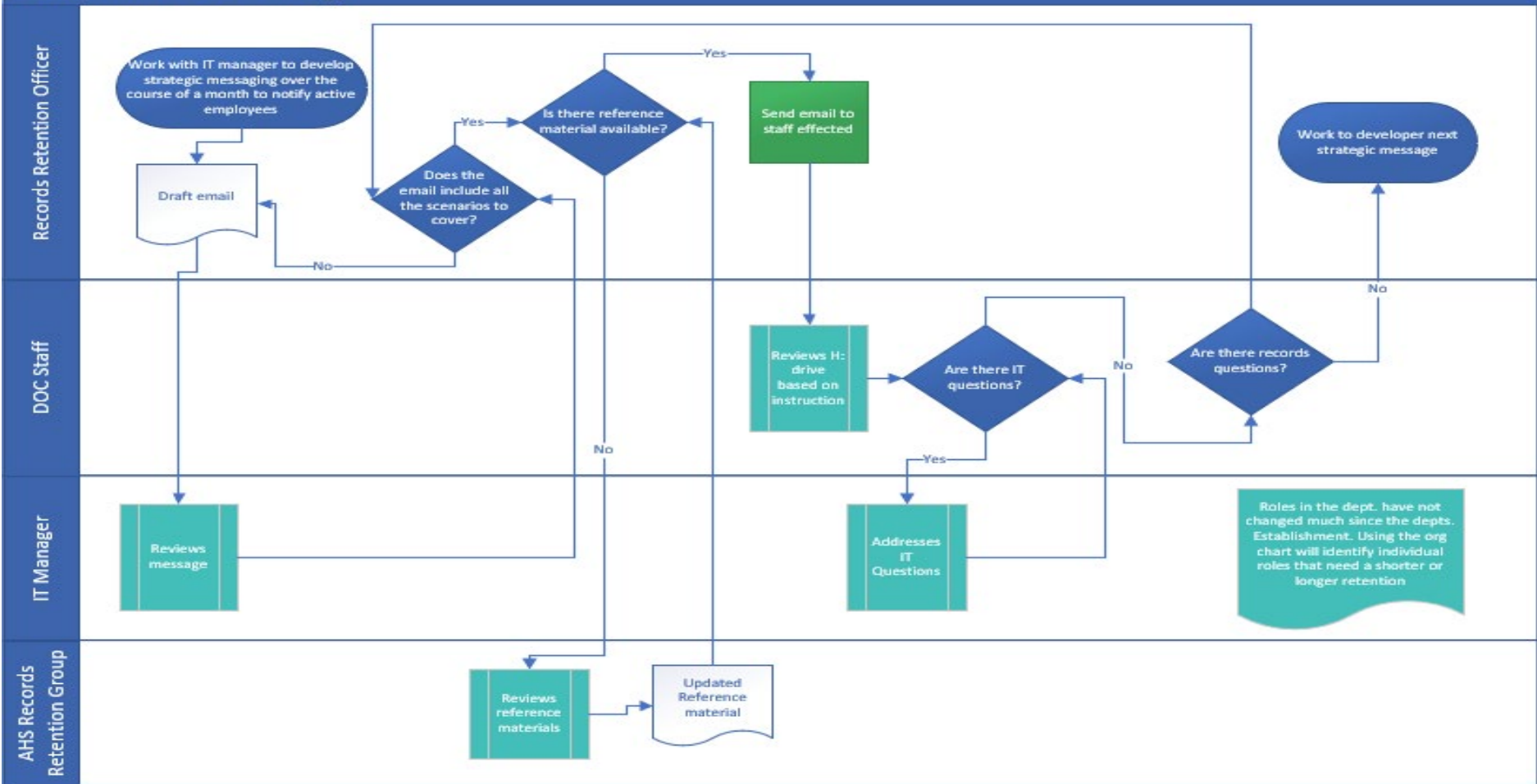- Email List of H: Drives
- Roles in the dept. have not changed much since the depts. Establishment. Using the org chart will identify individual roles that need a shorter or longer retention
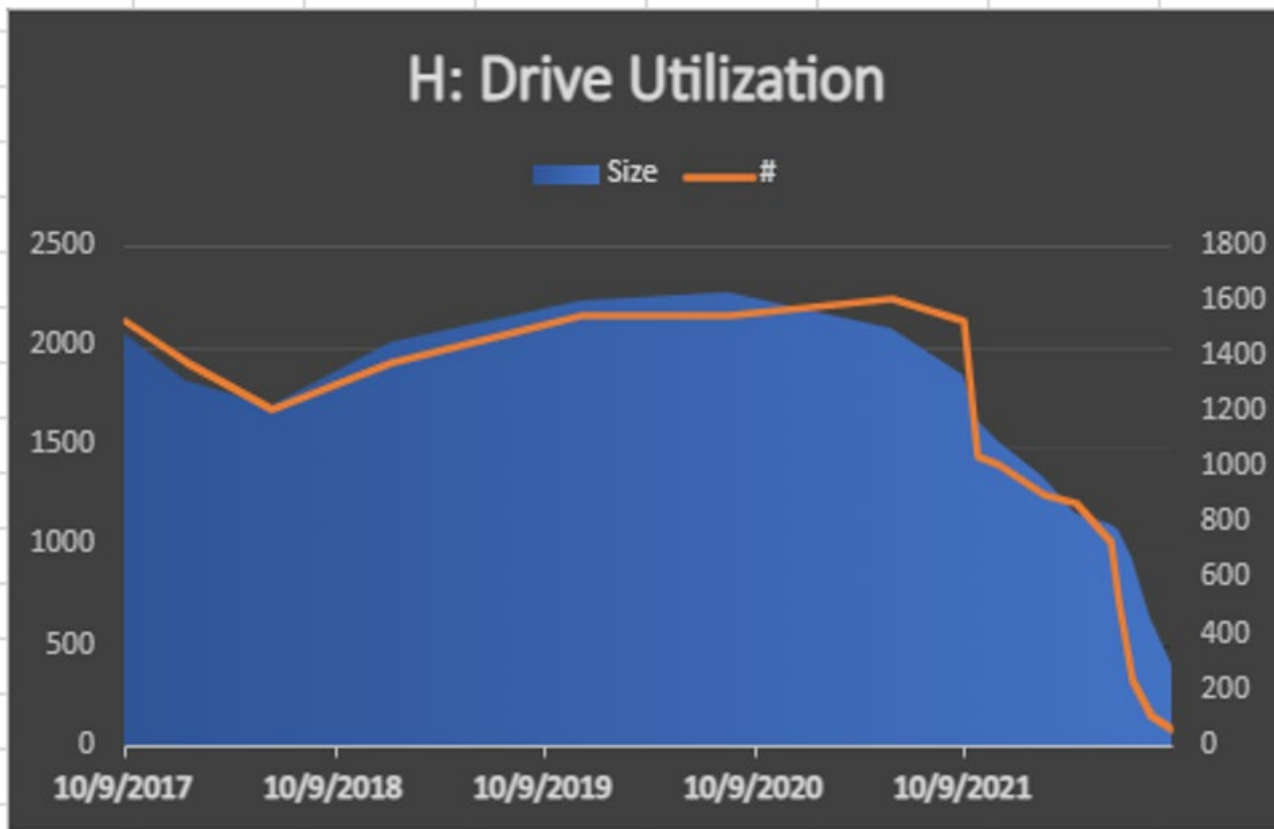
H: Drives

Role-Based Management

H: Drive Communication Strategy

Records Retention Officer
- Work with IT manager to develop strategic messaging over the course of a month to notify active employees
- Draft email
- Does the email include all the scenarios to cover?
- Is there reference material available?
- Send email to staff effected
- Work to developer next strategic message

DOC Staff
- Reviews H: drive based on instruction
- Are there IT questions?
- Are there records questions?

IT Manager
- Reviews message
- Addresses IT Questions
- Roles in the dept. have not changed much since the depts. Establishment. Using the org chart will identify individual roles that need a shorter or longer retention

AHS Records Retention Group
- Reviews reference materials
- Updated Reference material

H:Drive Sizes

- Total count and size of H: drives tracked over time.
- Review trends over time.
- Start with "low hanging fruit" to remove H: drives that didn't need review.
- Review H: drives by role and size in incremental process.
- Address the data storage needed for specific files as they come. (I.e., move to S: drive or other data system)
- Wash, rinse, repeat, complete.

H: Drive Outcomes

StorageUs (GB)		Notes
81914	81.914	Meeting in March
71390	71.39	CHSVT
68931	68.931	SOS
64122	64.122	reports to Adam Patterson
63424	63.424	Asst Supt
56951	56.951	Records Officer
56500	56.5	Reports to Jordan Pasha
39203	39.203	OPSC
22006	22.006	COII?
21810	21.81	Facilities Manager
20218	20.218	Site Legal Admin
17595	17.595	Asst Supt
16794	16.794	reports to Adam Patterson
16328	16.328	CCO in BUPP
16004	16.004	Admin B
15108	15.108	SOS?
14182	14.182	Program Services Director
13597	13.597	Field Manager
13309	13.309	CHSVT
11189	11.189	CHSVT
10370	10.37	CHSVT
9896	9.896	PPO II NEPP
9633	9.633	review old pictures

No H: Drives remain

- Establish locations for all protected data
- Remove items based on retention schedule
- Work with staff to store files in the correct locations

Review process for OneDrive Locations

- OneDrive Utilization can be measured and tracked monthly.
- Set up meetings for review with largest consumers of space to understand "why" and how space is being used.

WHY IS THIS IMPORTANT

- Accessibility/saving time
- Efficient workflows and offboarding process
- Litigation/lawsuits
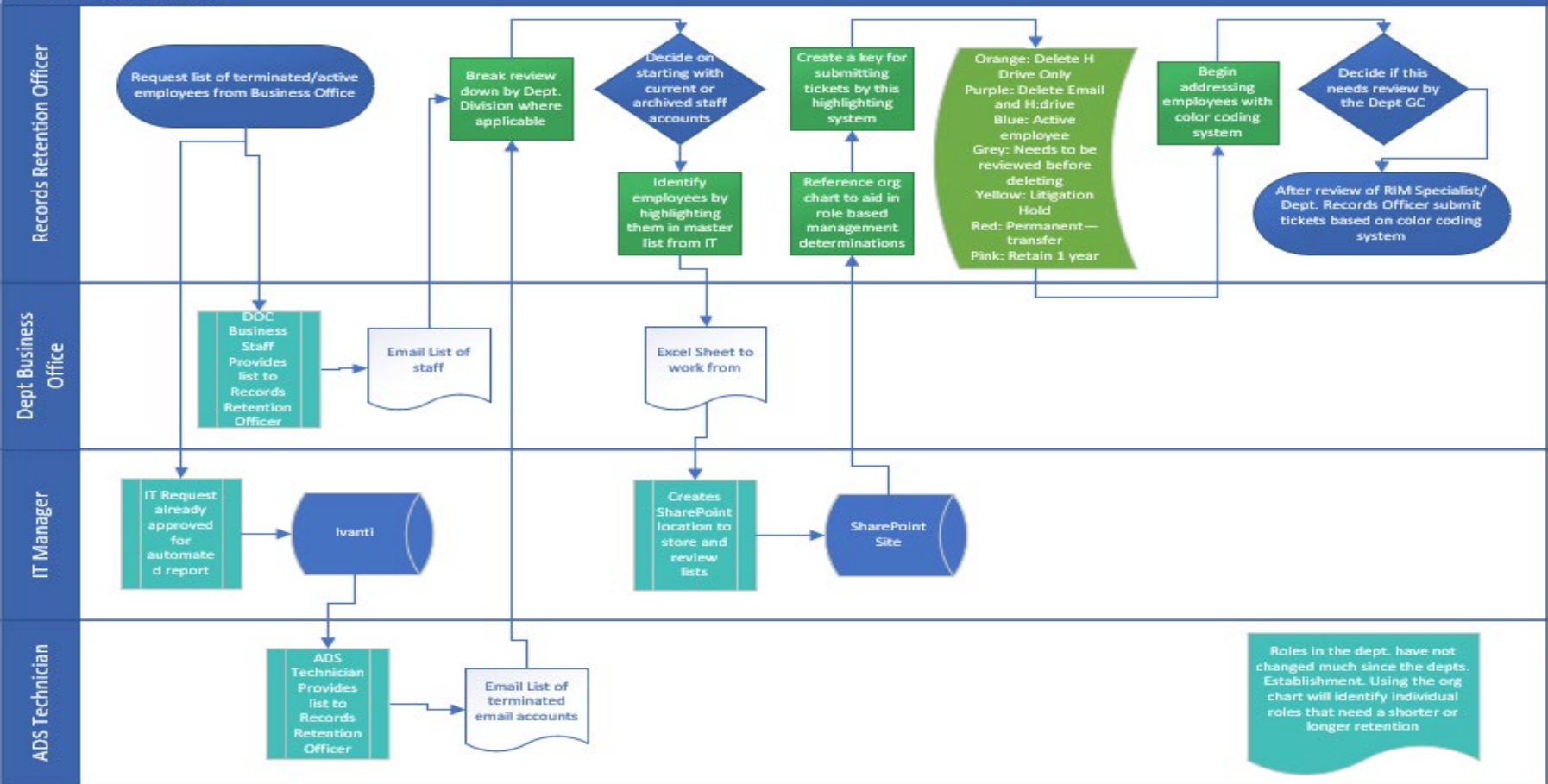- Cost savings

Email Accounts
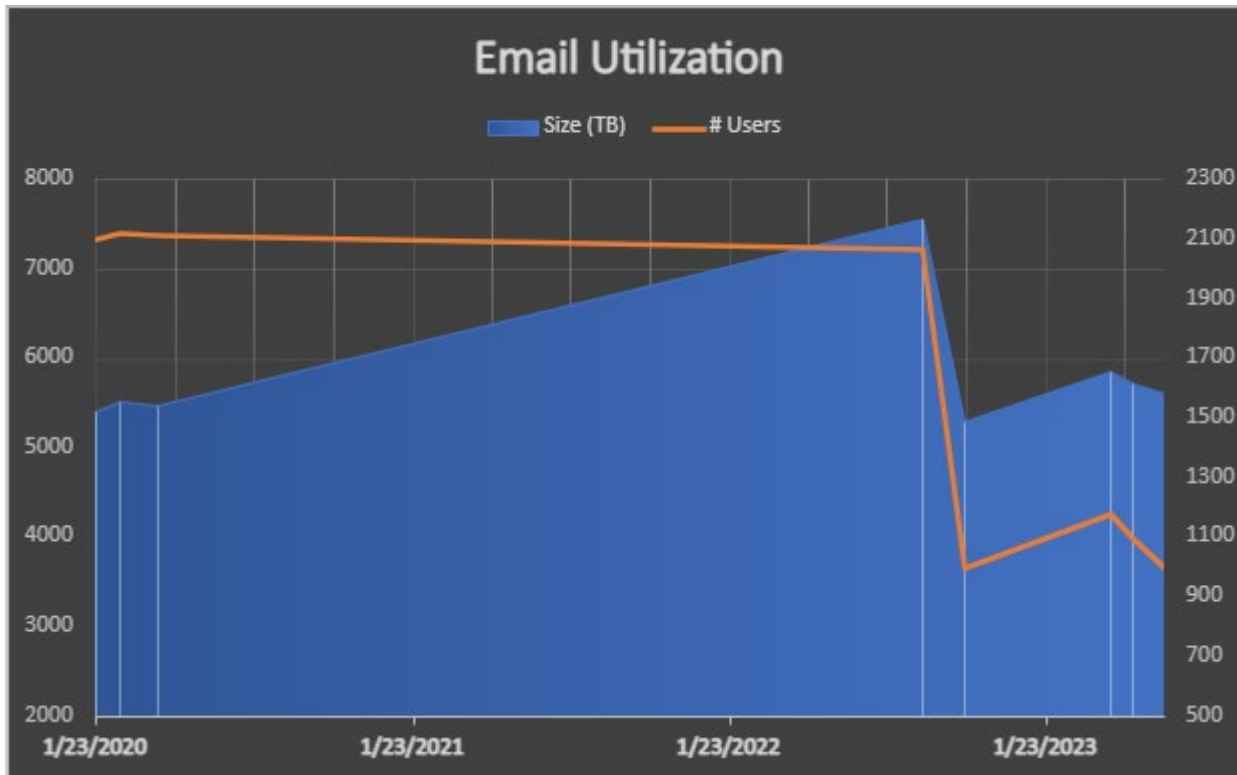
THE SECOND WAVE

Email Accounts

Email Accounts and Size

Email Utilization

Size (TB) — # Users

- Total count and size of email accounts.
- Review trends over time.
- Start with "low hanging fruit" to remove terminated accounts (without litigation holds or "C-level" restrictions).
- Implement "Email challenges" for staff to monitor what they are keeping.
- Address terminated accounts quarterly, also removing those that no longer have litigation holds or other time constraints.
- Wash, rinse, repeat, complete.

Email Account Outcomes

B	C	D	E
DisplayName	Item Count	Total Item Size (GB)	Note
Letourneau, Claudia C	7034	1.001	
Santaw, Stanley	8243	1.013	
Burgher, Dorrell	6850	1.017	
Larsen, Jessica	6518	1.028	
Hawkins, Michael	6596	1.03	
Rathbun, Thorn	6011	1.046	
Malone, Dylan	7083	1.058	
Baker, Michael	8024	1.07	
Plank, Rickey	16019	1.073	
Adry-AHS102021, Leeor	7500	1.087	Hold
Carrier, Regina	7411	1.088	
Barrows, Christine	5755	1.104	
Mendes, Joanne	10246	1.12	
Gutierrez, Carla	9859	1.138	
Gibson-AHS102021, Sara	8832	1.142	Hold
Busato, Adrianne	10477	1.143	
Sanborn, Evan	5565	1.143	

Removed old and outdated accounts

- Remove items based on retention schedule
- Work with supervisory staff to store needed email in the correct locations

Review process terminated account

- Email accounts are addressed upon termination.
- Escalation to Records Retention Officer as needed.
- Issues can be measured and tracked quarterly.
- Can revisit accounts with issues periodically.

WHY IS THIS IMPORTANT

- Accessibility/saving time
- Efficient workflows and offboarding process
- Litigation/lawsuits
- Cost savings

- Litigation holds

- Involving legal counsel

- Accounts on hold (military example)

- Ivanti (Service Desk) Ticket documentation

S: DRIVES

THE THIRD WAVE

Current Discussion

Testing our hypothesis: is this something that can be repeated with other electronic records?

Yes! Using the same set of tools and resources, we were able to develop a review process similar to our H:Drive review process
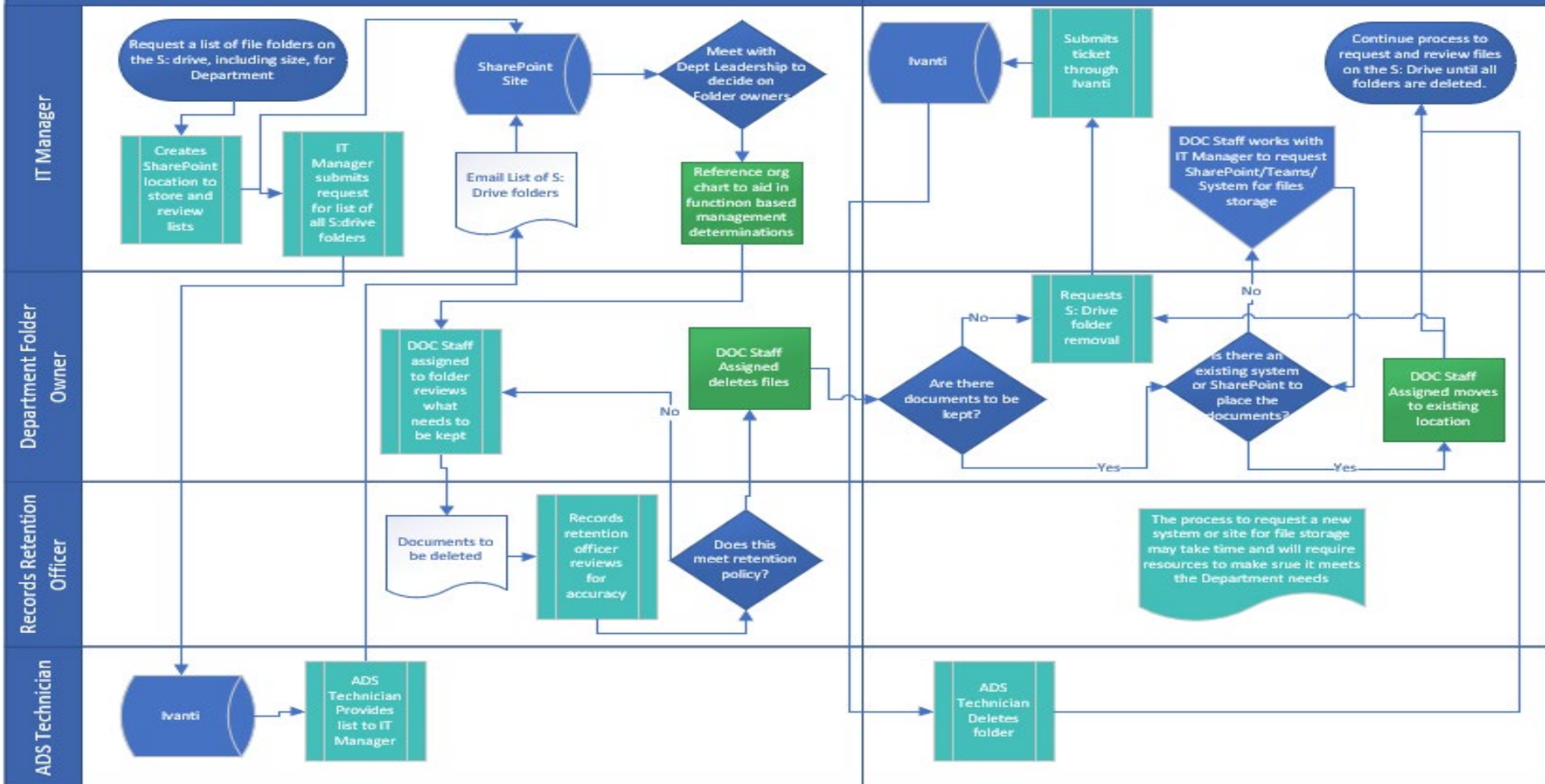
S: Drive Folders and documents—addressing unmanaged folders and security groups with outdated processes to provide permissions, to retain outdated and duplicated documents. Removal again mitigates legal risks while eliminating redundant, obsolete, and trivial data.
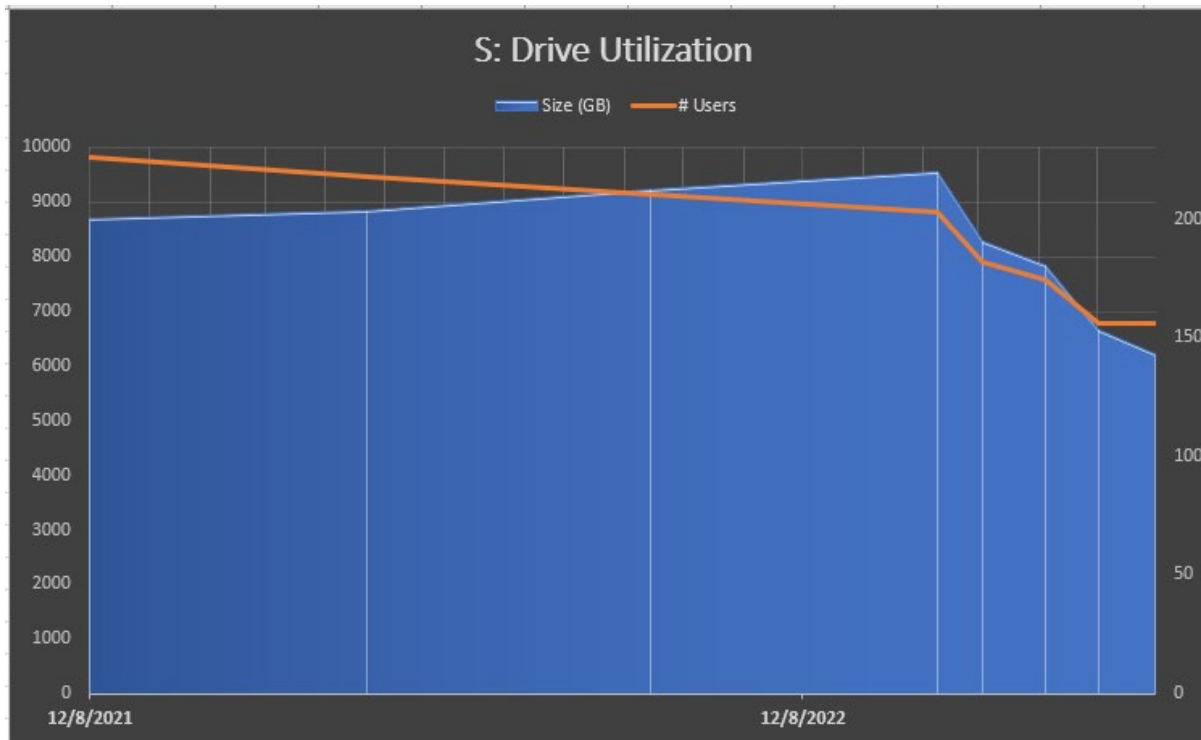
S: Drive Folders

S: Drive Folders and Size

S: Drive Utilization

- Total root folder count and size overall S: Drive. Break out size by root folders.
- Review trends over time.
- Start with "low hanging fruit" to remove unused folders.
- Set up meetings with folder "owners" to review the contents of the folder.
- Transition folders to SharePoint sites, or move data as appropriate.
- Note: some folders may currently need to remain until an alternative can be found.
- Wash, rinse, repeat, complete.

S: Drive Outcomes

Removed old and outdated folders

- Review Security Groups associated with folder access
- Remove legacy servers where data is stored.

SharePoint Creation

- Create SharePoint for Department-wide standards for meta data and folder structure.
- Assign DOC staff to manage their own data and permissions.
- Issues can be measured and tracked quarterly, revisit sites with issues periodically, ensure a site owner is listed, and user roles identified.
- Have access across multiple devices without being on the State network.

WHY IS THIS IMPORTANT

- create new documents directly from SharePoint
- upload existing documents and apply metadata, without the need for a new folder
- Add lists, apply filters, use tools to view information on SharePoint pages

04

Lessons
Learned

Lessons Learned

- Ivanti (Service Desk) Ticket documentation

- S Drive to SharePoint – Nuanced and more complex

- H: drive = one to one

- Functional areas (more specific to department) on top of a role-based strategy

Current Discussion

05

Next Steps

Next Steps

Active Employee Emails

SharePoint

Systems (OMS)

MOU/ISAs

Software usage

Questions?