WB Approach to a Hybrid Records Environment

April Miller, Program Lead – WBG Archives
Robert Malloy, Program Lead – Information Management
May 8, 2017
Agenda

• Multiple formats for records continue to exist;

• Our hybrid environment:
  • Analog records
    • Current processes
    • Initiative for the future
  • Electronic records
    • System driven workflow – automatic capture
    • No system workflow – manual capture
    • Intranet Sites
    • Multimedia
    • Digital Vault
    • Record Retention and Disposition

• Are we really hybrid?
Analog records at the WBG

- For WBG, analog records are primarily textual on paper.
- Records management policy is media neutral.
- Member countries:
  - Capacity for electronic records creation and care
  - Legal and evidence systems may not support or permit electronic records
- Consultative and consensus processes inherent in the Bank culture can shore-up the reliance on analog records.
- Information Centers within WBG entities create reliance on paper collections.
Analog records at the WBG - Processes

- Records in hardcopy form may be created or received by staff in the pursuit of their business activity.
- Records are retained according to unit-specific file schemes (determined by the unit and vary in quality) either in shared-filing spaces or in individual offices.
- Paper records are retained for as long as the Bank’s records retention and disposition schedules specify.
- After “in-office” retention periods are met, records are either destroyed by the unit, or sent to the Archives for permanent retention or for eventual destruction if a longer retention period is specified.
- Once in the Archives, basic bibliographic data entry is done in TRIM to apply intellectual control: enables disposition action, but also makes retrieval for staff efficient.
- Country Office disposition missions:
  - Intense. Short. Physically challenging.
  - Missed destruction dates + important permanent records that should be sent to Archives.
  - CO staff always underestimate the volume of holdings in their office or off-site storage location, which they are permitted to lease in accordance with our guidelines.
Information management-related policy oversight and implementation

Appraisal and Records Retention and Disposition Schedules

Chain of custody and descriptive controls on records

Archival arrangement & description

Access provision

KEEP RECORDS: Records Schedules, Appraisal & Accession of Records
KEEP RECORDS:
Records Schedules, Appraisal & Accession of Records

Chain of custody and descriptive controls on records

- Controlled records transfer procedures for paper, with workflow in HP Records Manager.
- Data entry for new transfers (folder and box level) entered in HP RM.
  - Title
  - Dates
  - Disposition
  - Etc.
- Location tracking via barcode.
- Reporting transfer activities via intranet.
- Country Office disposition missions.
- Resources for staff: all on-line, including how-to videos.
Analog records at the WBG - Initiatives

- Initiatives focused around paper reduction possibilities and integration tools with Documentum.
- Paper reduction efforts focused on records created or received from transactional activities, which are typically temporary records, although permanent records are not out of scope.
- Web-based portals for specific business activities, which have Documentum as a backend.
- Understanding policies that are misinterpreted as “paper only” and working with units to reframe them to reduce paper.
- Digital signature pilot.
- Digitization of permanent archival records: for access purposes, not preservation – although wear and tear on the records is decreased with less handling.
- Hybrid issue – aligning destruction activity with paper records (driven by data in HP RM), and same / similar electronic records (driven by data in Documentum / Retention Policy Services).
- More on Documentum Retention Policy Services and macro-appraisal for electronic records below.
WBG Archives Holdings

Records related to World Bank Group member countries dating from 1946 to the present. The holdings include lending project files, country files, economic and sector work records, policy files, oral history interviews, films, videos, photographs, and much more.

- 499 million pages of paper records (208,000 linear ft.) dating back to 1946.
- Over 250 oral history interviews.
- Over 500 linear ft. photographic material.
- Over 100 linear ft. film reels.
- Over 30 linear ft. audio & video tapes.
- 110,000 formal Bank reports and serialized publications available on-line on the “Documents & Reports” website.
- Stacked, the boxes would reach 7 times as high as Mt. Everest.

…and growing!
WBG Archives – Records Center

Location: Pennsylvania
Construction: Former limestone mine
Size: 54,000 square feet
Staff: 4 staff, 4 contractors
Records: 208,000 linear feet
Temperature: 18°- 20° C
Humidity: 30% - 35% RH
Services: Daily courier to and from DC, Staff augmentation, Destruction (pulping)
Electronic Records

"Please put that confusing mess of documents, files and folders where it belongs...in your computer."
Electronic Records at the World Bank

1985
Automation to scan and make available a small number of report types to staff.

1996
Born-digital records have an EDRMS for use by role-based Records Managers (Domino/Hummingbird). There were several versions up to 2003.

2004
Born-digital records have an EDRMS for use by all staff, consultants and contractors to do their own filing (Domino/Hummingbird)

2011
Migration to Documentum

Spring 2017
Issuance of RFP for a Digital Preservation Platform
Electronic Records Capture

• System driven records following workflow – automatic capture;

• Records that don’t follow a structured process – manual capture.
System driven or curated reports

Legal Documents
- Filed in Legal Folders in WB Docs (Legal Info. Center)

Procurement Plans
- STEP System
  - Saved in WBDocs
  - Surface on Project Portal

Auditing Documents
- Prima system
  - Non-Form based Portal Documents
  - Part of Imagebank Collection

Portal Documents
- Portal Approval Process
  - Curated by IDU
  - Saved in Imagebank Collection inside WBDocs
  - Surface in Imagebank

Public Disclosure Process
  - Has a Project ID

External Project Portal
- Open Knowledge Repository
- Country / Topic Websites
- External Library Site

Publications
- Klopotek system

Other Imagebank Documents
- Submitted to the Internal Documents Unit

Board Documents
- Board Operations System (BOS)

BOS
# Document Process Flows

## Non-system driven or curated reports

<table>
<thead>
<tr>
<th>TTL / Staff</th>
<th>System</th>
<th>Manager</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Related Documents</td>
<td>Save in Project File in WBDocs</td>
<td>Surface in WBDocs</td>
</tr>
<tr>
<td>Does this follow a curated process? NO</td>
<td>Save in Box</td>
<td>Surface in Project Portal</td>
</tr>
<tr>
<td></td>
<td>Save in Shared Drives</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Save in Spark</td>
<td>Surface on Spark</td>
</tr>
<tr>
<td></td>
<td>Save in O2 Knowledge Base</td>
<td>Surface on O2 Online</td>
</tr>
<tr>
<td>Yes</td>
<td>Follow Process to Portal, Imagebank, or Board...</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Non Project Documents</th>
<th>System</th>
<th>Manager</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does this follow a curated process? NO</td>
<td>Save in WBDocs</td>
<td>Surface in WBDocs</td>
</tr>
<tr>
<td></td>
<td>Save in Box</td>
<td>Surface in Project Portal</td>
</tr>
<tr>
<td></td>
<td>Save in Shared Drives</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Save in Spark</td>
<td>Surface on Spark</td>
</tr>
<tr>
<td></td>
<td>Save in O2 Knowledge Base</td>
<td>Surface on O2 Online</td>
</tr>
<tr>
<td>Yes</td>
<td>Follow Process to Imagebank, Unit structured process, Publisher’s office, or Board,...</td>
<td></td>
</tr>
</tbody>
</table>
Manual Filing - WBDocs EZFile

File from Outlook or Box directly into WBDocs

- Correspondence related to projects and Trust Funds
- Decisions
- Meeting Minutes
- Key drafts
- Memos
- Other key documents not filed as part of a roadmap process
WBDocs EZFile - Outlook

Filing has never been easier…in WBDocs
WBDocs EZFile Outlook

Filing has never been easier...in WBDocs
WBDocs Mobile Filing

Forward to File from your mobile device.

- For “Official Use Only” documents
- Only for Project (P007865); Trust Funds (TF090242); Loans (IBRD45580); or Credits (IDA39010)
- You can only file from a World Bank Group email account.
- Only one WBDocs email address in either the to: or cc: field
WBDocs Mobile Filing

Projects
P007865@wbdocs.worldbank.org (default)

Trust Funds
TF090242@wbdocs.worldbank.org (default)

Loans/Credits
IBRD33530@wbdocs.worldbank.org (default)
IDA39010@wbdocs.worldbank.org
WBDocs Web Portal

- New Look, More Features
- Simpler, faster to use
- Integrated with EZFile
Multimedia
Content Cleanup – Taking Chaos and Creating Order

- Goal is to make intranet content fresh, relevant, reviewed, accurate and reliable;
- Old platforms decommissioned (saving $$$);
- Governance – standards created and enforced;
- Search survey results improve.
Establish a Process for End of Life (Intranet)

**Direction**

- **Inventory**
  - Site Inventory
  - Review the Inventory
  - Flag the sites for closure/archiving or transition

- **Site Cleanup**
  - Site owner will receive Link-checking report for review
  - Fix short URLs, broken links & links leading to 404s
  - Remove the redirects

- **Archive**
  - Search in Web Archives site to ensure site archived
  - Submit Archive eservice request for active ePublish sites

- **Alias/FURL**
  - Alias inventory will be shared to review for deletion/correction
  - FURL report will be shared for deletion/correction
  - Add new redirects

- **Sign off**
  - Site owners sign off to delete the ePublish site
Identification of sites to remove and appraisal process

**Definition of inactive:**
Spaces, Groups, or Projects (Sites) prior to **January 2015** that have a combination of:

1. **Less than 20 pieces** of content (documents, discussions, blogs, events, photos);
2. No new activity since January 2015 (comments, likes, bookmarks, followers); and
3. Cross referenced with unique visitor views to site.

**Action Steps:**
- Site owners will be alerted via email; they can request to remain active. (DONE)
- List of inactive sites will be posted to [User Feedback Community](#). (DONE)
- Site owners will be alerted via email a final time prior to site closing;
- Spaces, groups, and projects will move to a QA environment;
- Select content will be appraised and captured into appropriate official repositories by WBG Archives.
Collaboration Spaces - Result

1. 3,571 Places have been identified for removal from Spark (WBG Collaboration Platform).

2. 2,667 Places will remain active.

3. In FY18 Q2 we will do another review.
Intranet Archives

LATEST ARCHIVED WEBSITES

Agricultural Welfare Development
Year Created: 2002 | Year Archived: 2016
This site is related to agriculture and its developmental activities in various rural areas...

Educational Development
Year Created: 2004 | Year Archived: 2014
General Educational Development (GED) tests are a group of four subject tests which, when passed, p...

Climatic Change
Year Created: 2003 | Year Archived: 2013
Climate change is a change in the statistical distribution of weather patterns when that change lasts...

Infrastructure Development
Year Created: 2000 | Year Archived: 2013
This site contains information about infrastructure and developmental activities...

Economics and Gender Equality
Year Created: 2008 | Year Archived: 2012
Gender equality, also known as sex equality, gender egalitarianism, sexual equality, or equality of...

Energy And Conservative Resources
Year Created: 2005 | Year Archived: 2010
Energy conservation refers to reducing energy consumption through using less of an energy service...

India Country Website
Year Created: 2000 | Year Archived: 2010
Information on the energy sector work in Central Asia planned and accomplished by the World Bank jo...

Social Awareness
Year Created: 2001 | Year Archived: 2009
Applied research and policy studies with potential for improving economic performance and social co...

World Bank Group
Information and Technology Solutions
Preventing Future Chaos - New Site Request

The establishment of an intranet steering committee led by senior staff has provided a decision making body on governing the intranet.

One of the first items endorsed:

1. The creation of standards which outline what sites are meant for the new intranet versus our collaboration spaces.
2. A centrally managed (ITSKI) request process for new site creation.
3. A monthly report on what new sites were approved.
4. Annual review of live sites to determine if they are still active.

New Site requests – sample of information requested:

<table>
<thead>
<tr>
<th>Description</th>
<th>Site Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sunset Date</td>
<td>Information Classification</td>
</tr>
<tr>
<td>Audience</td>
<td>Results you are trying to achieve</td>
</tr>
<tr>
<td>Sponsoring Unit</td>
<td>Will WBG records be posted</td>
</tr>
<tr>
<td>Administrator of site</td>
<td>Key activities</td>
</tr>
</tbody>
</table>
• Method: Macro-appraisal and functional analysis.
• Records Retention and Disposition Schedules:
  • Policy Definition: “A document authorized by the Bank Group Archivist that prescribes the retention and final disposition of the records maintained by a Bank Group unit.”
  • Contain instructions for staff on how to keep records in their office and when to dispose.
  • Two outcomes for disposition: destruction or permanent preservation.
  • General Records Schedule for records common to all Bank Group units.
  • Operational Records Schedules written for the operational records for specific vice-presidencies.

• Big bucket methodology for the disposition of electronic records.

KEEP RECORDS:
Records Schedules, Appraisal & Accession of Records
Documentum Retention Policy Services

- Designated roles of Retention Manager or Compliance Officer to apply and manage retention policies.
- Controls on the records lifecycle to final disposition of destruction or permanent retention.
- Retention Manager or Compliance Officer to apply retention freezes or holds as needed to records otherwise eligible for destruction.
- Ability to apply retention policies and create, edit, delete, or remove retention and disposition rules.
- Allow for searching, reporting and auditing on retention and disposition actions performed on records and policies.
Entry through Outlook, Web browser, Portals, other APIs.

User ability to check-in, check-out, version, delete documents.

No record declaration, retention, long-term preservation, archival description
With Retention Policy Services

Entry through Outlook, SharePoint, Web browser, Portals, other APIs.

Document declared a record, retention inherited from folder structure, additional metadata, user cannot delete, but can add new versions.

Document

WBDocs with RPS

Temporary Record

Disposition

Digital Shred

Permanent Record

eArchives
The underlying principles of the Big Bucket Project:

1) Conservatism
2) Consolidation of functions as identified in the Archives’ Office of Primary Interest – Activity Index
3) RPS rules based on approved disposition authorities
Big Buckets Method

1. Create the Office of Primary Interest – Activity Index, which lists all activities of the organization by function with links to the office that has primary responsibility for that function.

2. Create hypothesis buckets based on our disposition authorities using combinations of 3 components - a retention period, a retention trigger and a final disposition:

   - permanent records;
   - fiscal year + 3, destroy;
   - fiscal year + 7, destroy
   - fiscal year + 11, destroy
   - fiscal year + 20, destroy

   - fiscal year + 35, destroy
   - fiscal year + 50, destroy
   - fiscal year + 120, destroy
   - 7 years after final disbursement, destroy
   - 10 years after project completion, destroy

3. Analyze Office of Primary Interest – Activity Index to see how the 10 hypothesis buckets could be applied.

4. Determine if sub-functions are needed due to retention and disposition demands.

5. Refine for future implementation projects.
3. The records of each function belong in one of the buckets. For those functions that have sub-functions, the records of each sub-function belong in a bucket.

1. The same functions that are listed in the OPI-Activity Index were used in the Draft Big Buckets document.

<table>
<thead>
<tr>
<th>Code</th>
<th>Function Group / Function</th>
<th>Functions Related to Function</th>
<th>Storage Requirement</th>
<th>Recommendations Regarding Retention and Disposition</th>
</tr>
</thead>
<tbody>
<tr>
<td>001</td>
<td>001.01</td>
<td>Recordkeeping</td>
<td>Permanent.</td>
<td>The records related to the function are stored until they are no longer needed.</td>
</tr>
<tr>
<td>001</td>
<td>001.02</td>
<td>Procurement Supervision</td>
<td>Retain for 10 years after project completion, destroy.</td>
<td>Records related to the function are retained for 10 years after project completion, then destroyed.</td>
</tr>
<tr>
<td>001</td>
<td>001.03</td>
<td>Disbursement</td>
<td>Retain for 7 years after final disbursement, destroy.</td>
<td>Records related to the function are retained for 7 years after final disbursement, then destroyed.</td>
</tr>
<tr>
<td>002</td>
<td>002.01</td>
<td>Economic and Sector Work</td>
<td>Permanent.</td>
<td>Records related to the function are stored permanently.</td>
</tr>
<tr>
<td>002</td>
<td>002.02</td>
<td>Fiscal Compliance</td>
<td>Permanent.</td>
<td>Records related to the function are stored permanently.</td>
</tr>
</tbody>
</table>

2. Each line item is a function, and there are 48 functions. Among these 48 functions, there are 6 that have sub-functions (one of them has 4 sub-functions; one has 17 sub-functions; the remaining 4 have between 7 and 12 sub-functions). The total of functions and sub-functions is exactly 100.

4. We only have 10 buckets, but these should be sufficient to hold the records of 100 functions / sub-functions.
Refining for future implementation: Due diligence

Our goal was to have a pool of applicable and extant retention rules at the ready, which can be used for further study as RPS is rolled-out across the Bank.

As RPS is implemented for each of the different units or functions, the idea will be to use these small pools of applicable retention rules to refine the big bucket to which it relates, and to possibly identify more sub-functions within the OPI Index.

We started with 8707 disposition rules to arrive at 10 large buckets!
From the pool of 8707 disposition classes, 89 of them are applicable to records related to the function of Managing Human Resources, and within that 7 are applicable to health services.

<table>
<thead>
<tr>
<th>Function 007-02</th>
<th>Manage Human Resources</th>
<th>OPI – See table in right-hand column. Other Units - Retain for 3 years after the end of the fiscal year; destroy.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>An examination of the existing disposition classes revealed that records related to human resource management cannot all be assigned the same retention and disposition. The table below shows the sub-functions within function 007-02 as they apply to the Office of Primary Interest (OPI), which in this case is HRS. Further details on these sub-functions, and the retention and disposition assigned in each case, can be found in the project report for the interim application of the Archives’ Appraisal Strategy.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SUB-FUNCTION</th>
<th>RETENTION AND DISPOSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Career Development</td>
<td>Retain for 11 years after the end of the fiscal year; destroy.</td>
</tr>
<tr>
<td>Workplace Diversity</td>
<td></td>
</tr>
<tr>
<td>Recruitment and Employment Programs</td>
<td></td>
</tr>
<tr>
<td>Staff Development [incl. Management Succession Planning]</td>
<td></td>
</tr>
<tr>
<td>Staff Performance</td>
<td></td>
</tr>
<tr>
<td><strong>Health Services (except as specified below)</strong></td>
<td></td>
</tr>
<tr>
<td>Benefits (except as specified below)</td>
<td>Retain for 36 years after the end of the fiscal year; destroy.</td>
</tr>
<tr>
<td>Health Services – Patient Records</td>
<td></td>
</tr>
<tr>
<td>Benefits – visa records</td>
<td></td>
</tr>
<tr>
<td>Benefits – insurance records</td>
<td></td>
</tr>
<tr>
<td>Benefits – pension records</td>
<td></td>
</tr>
<tr>
<td>Ethics issues, staff grievances, workers’ compensation, etc.</td>
<td>Permanent Retention</td>
</tr>
</tbody>
</table>
The Big Bucket rule for health services =
• 11 years after the end of the fiscal year. Destroy.

The current 7 rules for health services =
• Shortest: 5 years from end of calendar year. Destroy.
• Longest: 11 years from end of calendar year. Destroy.

In this case, the examination of our current rules confirms the accuracy of our Big Bucket decision.
Electronic Records at the World Bank

1985
Automation to scan and make available a small number of report types to staff.

1996
Born-digital records have an EDRMS for use by role-based Records Managers (Domino/Hummingbird). There were several versions up to 2003.

2004
Born-digital records have an EDRMS for use by all staff, consultants and contractors to do their own filing (Domino/Hummingbird)

2014
Migration to Documentum

Spring 2017
Issuance of RFP for a Digital Preservation Platform

The oldest electronic / born-digital records at the World Bank are now over 20 years old.

The Archives’ responsibilities for preservation, access and declassification must begin.
Electronic records captured in our EDRMS are identified as permanent or temporary via Retention Policy Services (RPS) in Documentum.

RPS rules were derived from approved retention schedules and grouped into larger conservative buckets for application in the system.

Records designated as Permanent will be transferred to the eArchives or Digital Preservation Platform.
Records in scope to flow into the Digital Preservation Platform

- Structured Data: Research datasets, Business systems data
- Legacy Content/Systems (e.g. Lotus Notes, Sharepoint)
- Website(s) (e.g. ISP)
- Digitization projects
- Individual/Ad Hoc Accessions (e.g. staff retirement)
Staff Desktops (email, docs, files)
Automated Capture (e.g. OPs Portal)

WBDocs (Documentum)

Major Business Systems
Structured Data: Research datasets
Business systems data
Legacy Content/Systems (e.g. Lotus Notes, Sharepoint)
Website(s) (e.g. ISP)
Digitization projects
Individual/Ad Hoc Accessions (e.g. staff retirement)

Semi-Active Record Store
semi-active records

Digital Vault

permanent records
temporary records
RPS

Staff
discover retrieve

External Researchers
discover retrieve
Are we really hybrid?

“Hybrid records management systems give a single point of access, and a single index, facilitating cross-media information retrieval. This is powerful for Data Protection and Freedom of Information enquiries, and it is vital for knowledge management.”