

RG Perspective

Data Optimization

Modernizing an Agency's Records Management Program



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The Defense Acquisition Initiative (DAI) was hindered in its mission to improve the budget, finance, and accounting operations of Department of Defense Agencies due to unwieldy records management which impacted the ability of staff to work at highest efficiency and comply with Defense Logistics Agency (DLA) records requirements.

- RG completed a data optimization program in 9 months, enabling DAI to fulfil their audit and records management responsibilities.
- This included developing and implementing improved document management policies, procedures, and practices across the organization compliant with DLA and NARA requirements.
- The solution utilized the existing IT infrastructure and standards, while reducing the amount of information in shared storage by over 30%.

Enhancing Financial Management Capabilities for the DoD

The Defense Agencies Initiative (DAI) goal is to improve the budget, finance, and accounting operations of most Department of Defense Agencies to provide accurate and reliable financial information to enable effective and efficient decision-making. In March 2016, the DAI faced a data storage challenge which posed a serious risk of disrupting their effort to modernize the Defense Agencies' financial management capabilities.

The allotted shared drive used to store official documents of record was at 90% capacity. Secondary issues included the annual data and records audits approaching within a year, time spent locating data, multiple versions of non-essential records, and new team members unable to find information needed to perform their job. DAI needed a records management program to organize, classify, identify or discard documents.

Previous attempts to institute a records management program had failed. DAI team members struggled to take on the records management challenge while still fulfilling their daily duties. The project lost momentum and was replaced with more urgent projects. The Defense Logistics Agency (DLA), the parent organization of DAI, has strict records requirements so a workable solution to meet the standards of classifying and organizing data was critical.

Modernizing Records Management

RG was selected to deliver a Records Management solution that modernized the agency's data collection while complying with DLA's records requirements. The goal was to meet audit requirements, improve data location time, and train DAI members on new records management processes and procedures. RG assessed the problem, devised an implementation plan, scheduled work, and reported progress to the DAI Executive Team.

Implementing a New Records Management Program

RG designed an implementation plan which consisted of four sections:

1. Records Identification
2. File Plan
3. Environment
4. Training

Each section contained a stage gate with tasks and specific deliverables required to be completed prior to beginning the next section. While each section depicted a logical waterfall approach, many of the tasks were completed simultaneously to allow for rapid movement through the section. Working on multiple tasks at one time enabled the RG team to deliver desired outcomes before the annual audit.

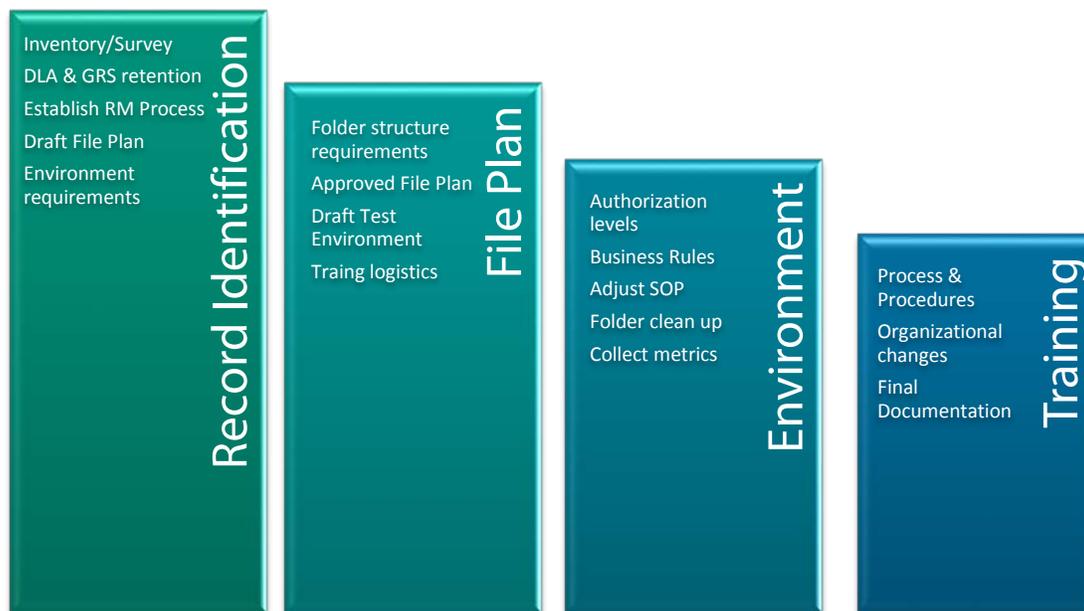


Figure 1: Sample Implementation Sections and Elements

RG used a specialized set of Records & Information Management tools designed to conduct a rapid inventory, classify, and organize 534,400 documents stored in DAI's shared drive. These tools can convert the organization and structure of the data dictionary into a txt file which can be migrated into any software product that accepts that file structure. RG followed the DLA File Plan to classify specific document types associated with DAI records, avoiding retention research that could take 18 to 24 months. The data was organized by function with key stakeholders participating in a validation exercise to establish a filing structure. This established the methodology for capturing, tracking, and managing existing and future documents. Each team contributed to the creation of a secure file structure.

After the file structure was created, DAI staff were able to ensure proper data management by placing their documents into a secure holding folder. Classification was then performed by a DAI data optimization team. DAI's File Plan was completed and approved July 2016. This date to completion was a significant reduction in time it traditionally takes to create and complete a File Plan.

DAI's Records Management Results

The records management program was implemented to optimize data storage, organization, and official document maintenance. It resulted in a highly functional, compliant, and user-friendly program without the use of additional software applications. With future modernization efforts in mind, document collections can be easily migrated into an Automated Records Management system.

Time to locate original or official records was reduced from hours to minutes due to the new file structure. All teams were assigned a location for working files which excluded original or official DAI documents. Standard operating procedures and data required for new employees was stored on DAI's e-workplace to create a single shared space for commonly used documents.

Long term storage needs were addressed using DLA's automated content server called DACS-RM which is an OpenText software application. DACS-RM stores long-term documents for all agencies within DLA. The DACS-RM application also manages retention maturity, document destruction, and document transfers. It is linked to both the Federal Storage Facility and National Archive and Records Administration (NARA). Using DACS-RM kept DAI compliant with the DLA records management audit and acquisition audit.

RG completed the data optimization program in nine months and reduced the shared drive by more than 30 percent. As documents are removed and migrated, more space will be allocated providing additional storage and reducing the risk of exceeding storage capacity on an annual basis.



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About RG

RG partners with clients to test and refine every solution to meet their exact needs. We take pride in tackling complex management challenges with fresh and innovative insights and in transforming our clients' vision into reality.