



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**



Document Manager (DM)

Records Manager (RM)

DESCRIPTION

- ▶ 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

- ▶ 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

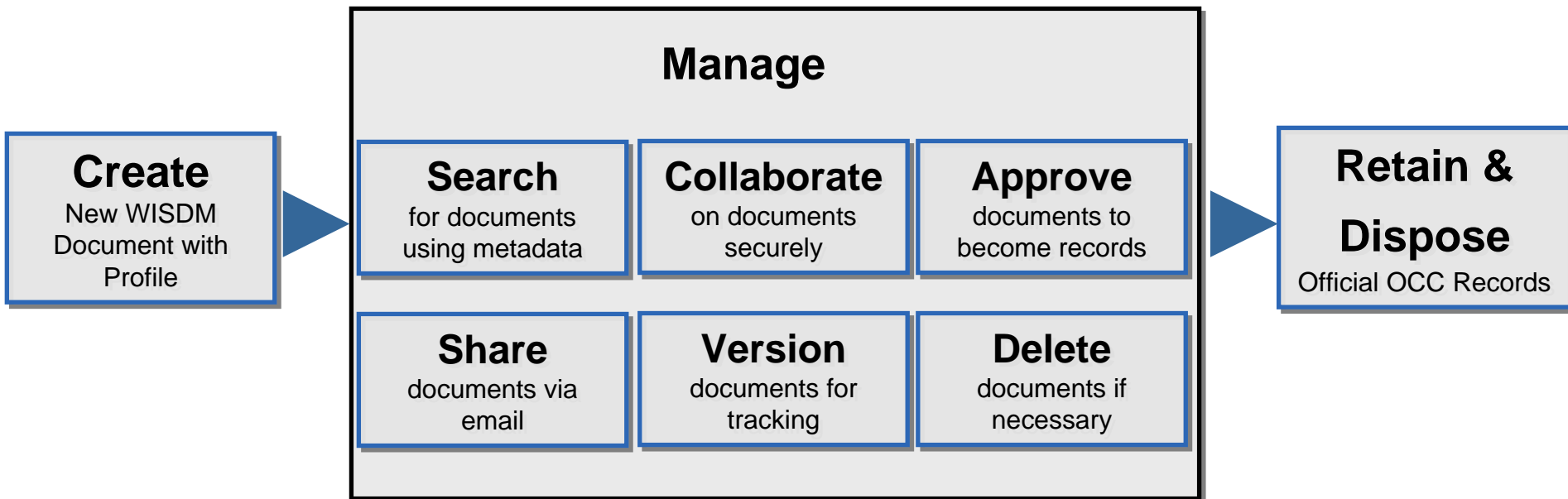


WISDM Contributions

- ▶ **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



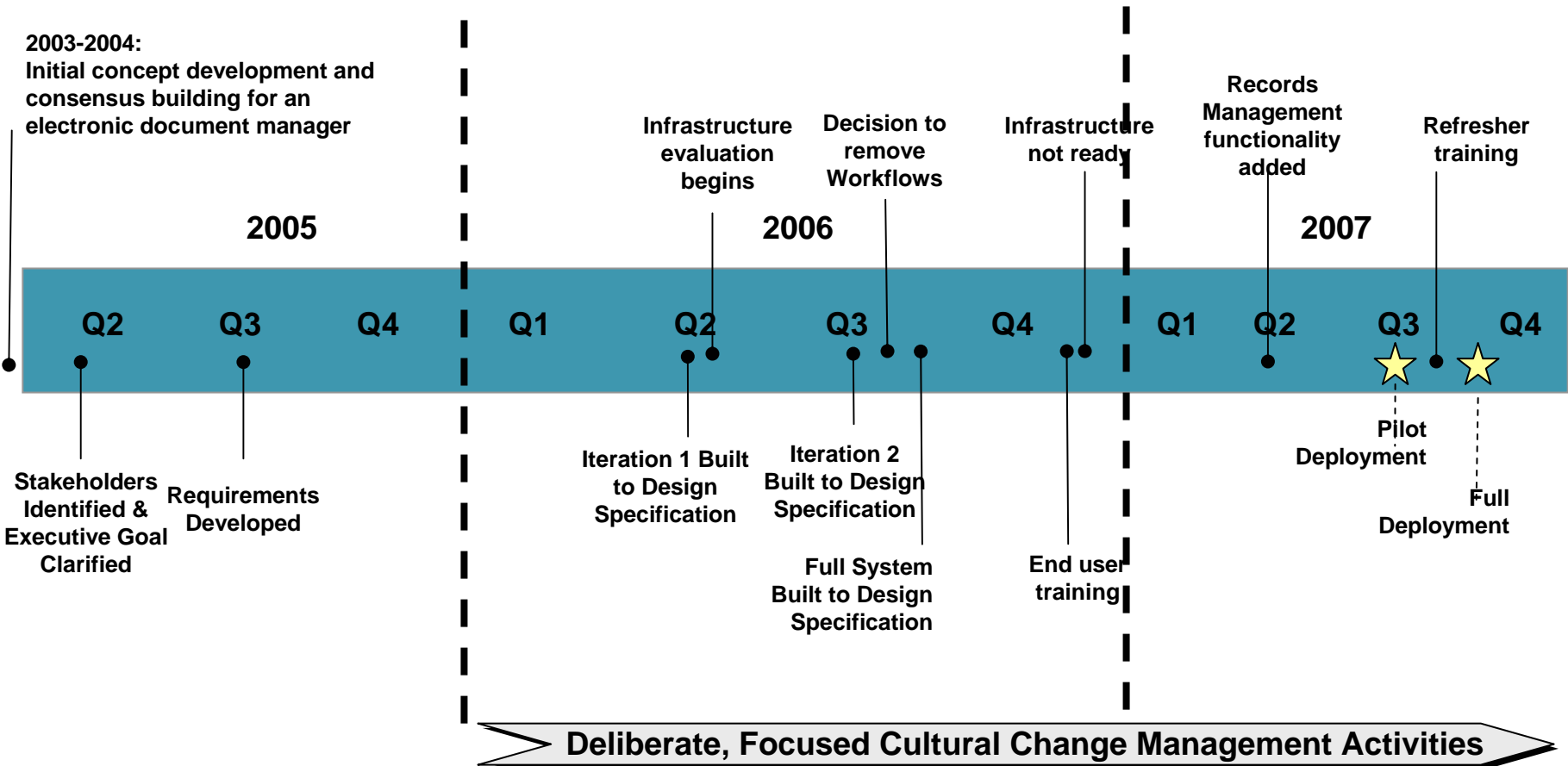
WISDM users include Large Banks Supervision (LBS) and Records Management business units

- ✓ 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

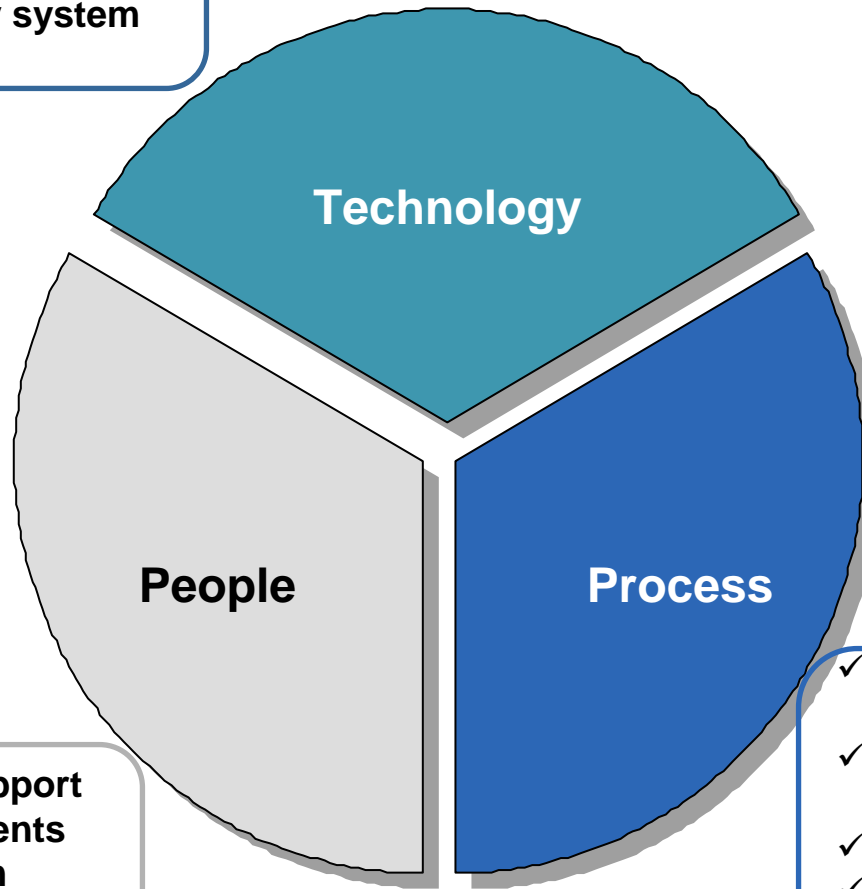
WISDM Development Timeline





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**

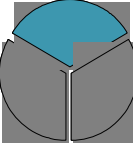


- ✓ **Senior Leadership Support**
- ✓ **User-based Requirements**
- ✓ **Cross-functional Team**
- ✓ **Continuous Communication, User Outreach, Education**

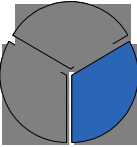
- ✓ **Rational Unified Process (RUP)/SDLC**
- ✓ **Integrated Master Schedule**
- ✓ **Multiple Workstreams**
- ✓ **Consolidated Requirements**
- ✓ **Phased Deployment**



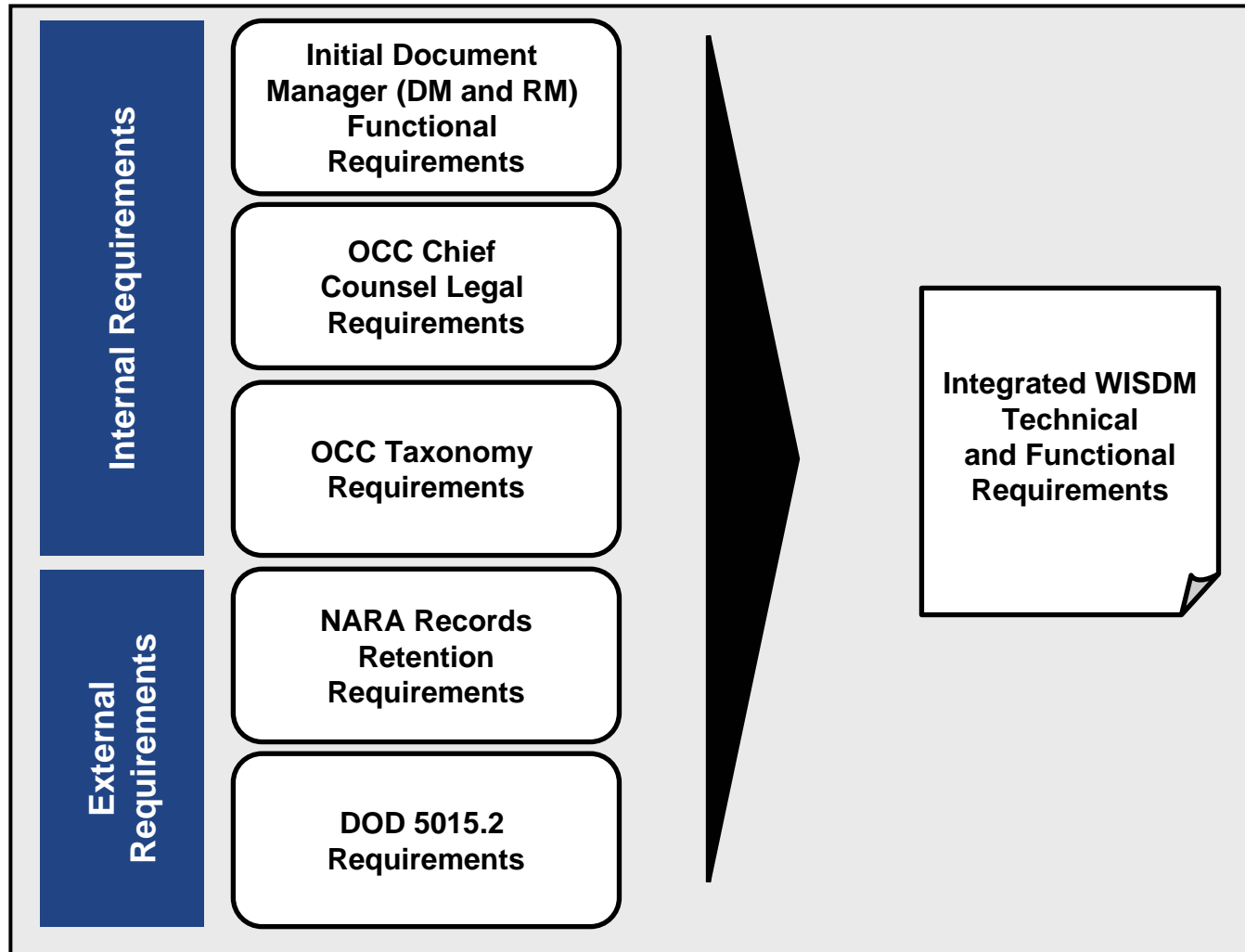
OCC chose a Commercial Off-The-Shelf (COTS) product to simplify development

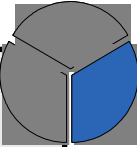


- ▶ **WISDM is a configured installation of Open Text's eDOCS tool**
- ▶ **Open Text eDOCs is a DOD 5015.2-compliant, industry-standard document and record management tool used by multiple government agencies as well as private industry**
- ▶ **WISDM interfaces with a legacy data management system and 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**



Internal and External Requirements





Pilot Deployment

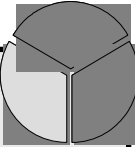
- ▶ **July 2007**
- ▶ **Recipients:**
 - Approx. 50 users in 2 locations
- ▶ **Accomplishments**
 - Proved successful installation
 - Obtained user feedback for final release at full deployment
 - Showed users a successful rollout

Full Deployment

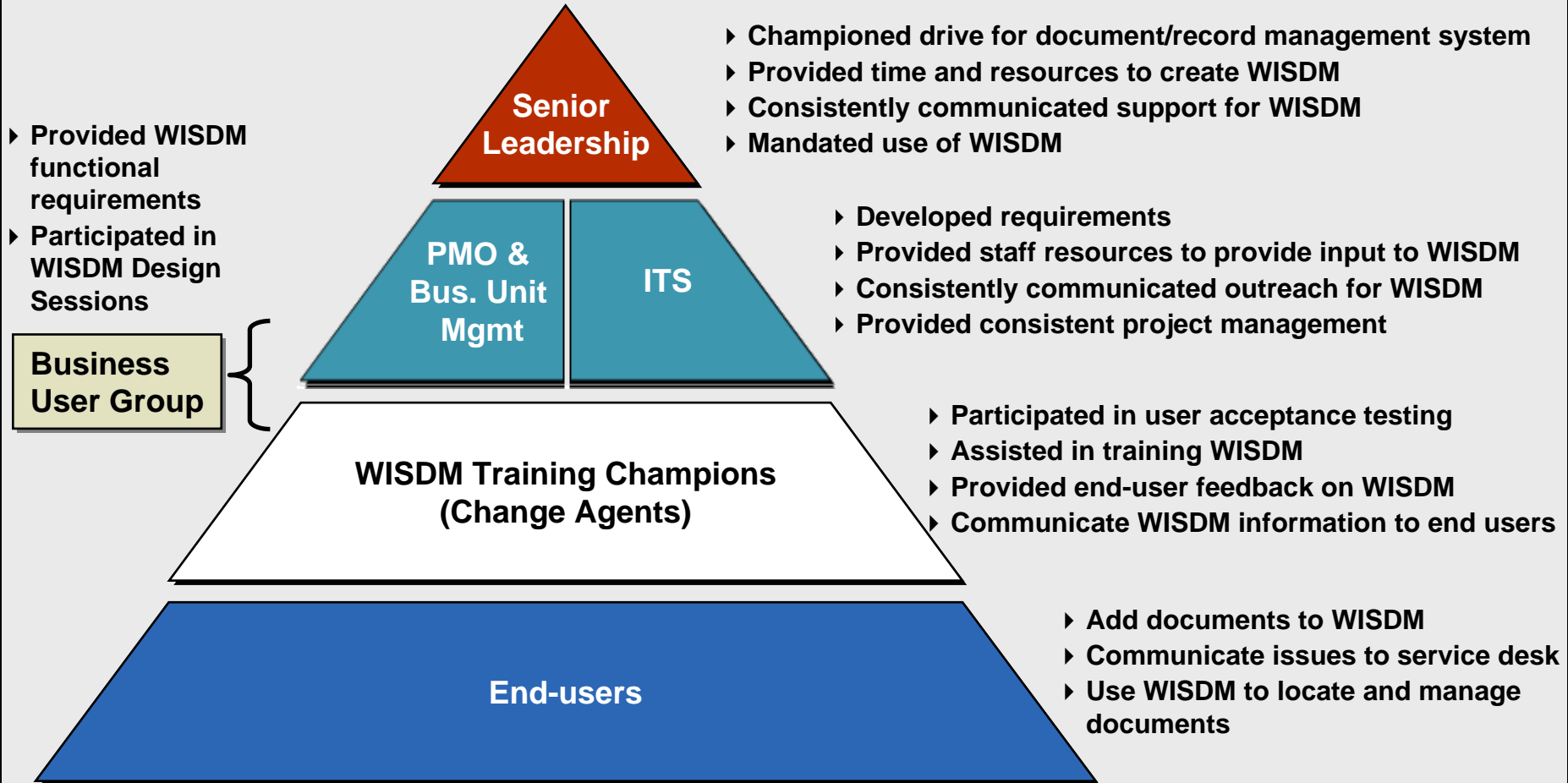
- ▶ **September-October 2007**
- ▶ **Recipients:**
 - Approx. 500 users in 20 locations
- ▶ **Accomplishments**
 - Rolled-out new WISDM release incorporating pilot feedback
 - Deployed WISDM to all end-users
 - Gave benefit of pilot experience to deployers and end-users



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



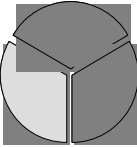
Flow of WISDM Sponsorship





Consistent communications and user outreach moved users through system adoption to ownership

- ▶ 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



Stakeholder	Feb '08	Mar '08	Apr '08	May '08	Jun '08	July '08	Aug '08	Sept '08	Oct '08
COMPLETED TO DATE									
Internal									
OCC Senior Management	Kickoff email	Stakeholder from LBDC			HB Demo Stakeholder from LBDC			Iteration 1 Demo Stakeholder from	LB Conf
LBDC's	Kickoff email	Stakeholder from LB Directors			HB Demo Stakeholder from LB Directors				
LB Management	LB EIC's & LB Directors	Coof Call Kickoff email Briefing	Coof Call Template OCC Net Briefing	Coof Call Briefing	Coof Call Briefing	Coof Call OCC Net HB Demo			
Large Bank Staff	HQ Staff	Kickoff email Stakeholder Email - PMO	OCC Net Stakeholder	Stakeholder - PMO Briefing	Stakeholder Briefing	HB Demo OCC Net Stakeholder Email - PMO			
	Field Staff	Kickoff email Strategic Planning Email - PMO Briefing	OCC Net Briefing	Email - PMO Briefing	Briefing	HB Demo OCC Net Email - PMO			

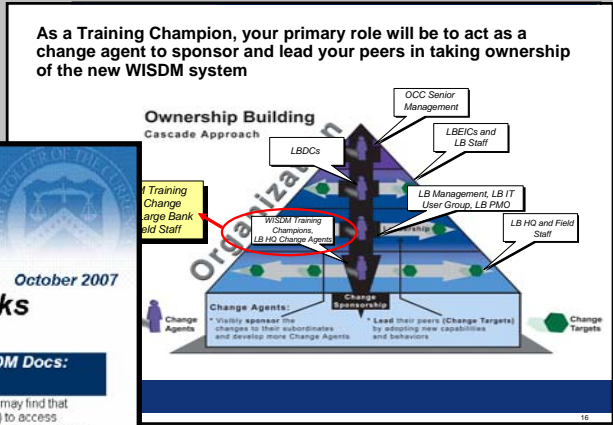
WISDM
October 2007
Tips and Tricks

Use Your Verizon Wireless Card to Access WISDM Docs: Use Citrix to Get Them Quickly

If you access the OCC network using a Verizon Wireless card, you may find that WISDM performance is slow. Use the Citrix website (<http://connect>) to access documents in WISDM directly on the server. This decreases the time it takes to open a WISDM document.

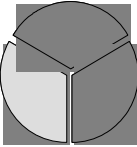
For more information on Citrix, contact the Technical Assistance Center at 800-788-7002

Open a non-WISDM Document While Working Online





Consistent, task-focused learning enabled users to integrate WISDM into their work



- ▶ **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**

The image displays a collection of training materials for WISDM. On the left, there are several screenshots of user guides, including 'Managing Documents Using DM Extensions', 'Managing Documents in the Webtop', and 'Getting Started with WISDM'. In the center, a slide titled 'WISDM Training' shows 'Introduction to Managing Documents in WISDM' with a diagram of document flow. On the right, a slide titled 'Module 1: Introduction' features a navigation menu with 'Introduction to WISDM', 'Overview of WISDM', and 'Managing Documents in WISDM'. Below this is a 'User's Guide' cover for 'Version 1.2 November 2007'.



“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

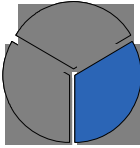
- ▶ Development and validation of requirements by end-users
- ▶ Careful technical change management and control throughout development lifecycle

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

- | 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 |



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



Next steps for WISDM include quarterly updates and expansion to enterprise-wide document and record management

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:

- Electronic signatures for official records
- Integration of new technologies to add capabilities such as workflow, Smart Documents, and new interfaces
- Ongoing performance improvements across a geographically distributed user base
- Long-term preservation of records



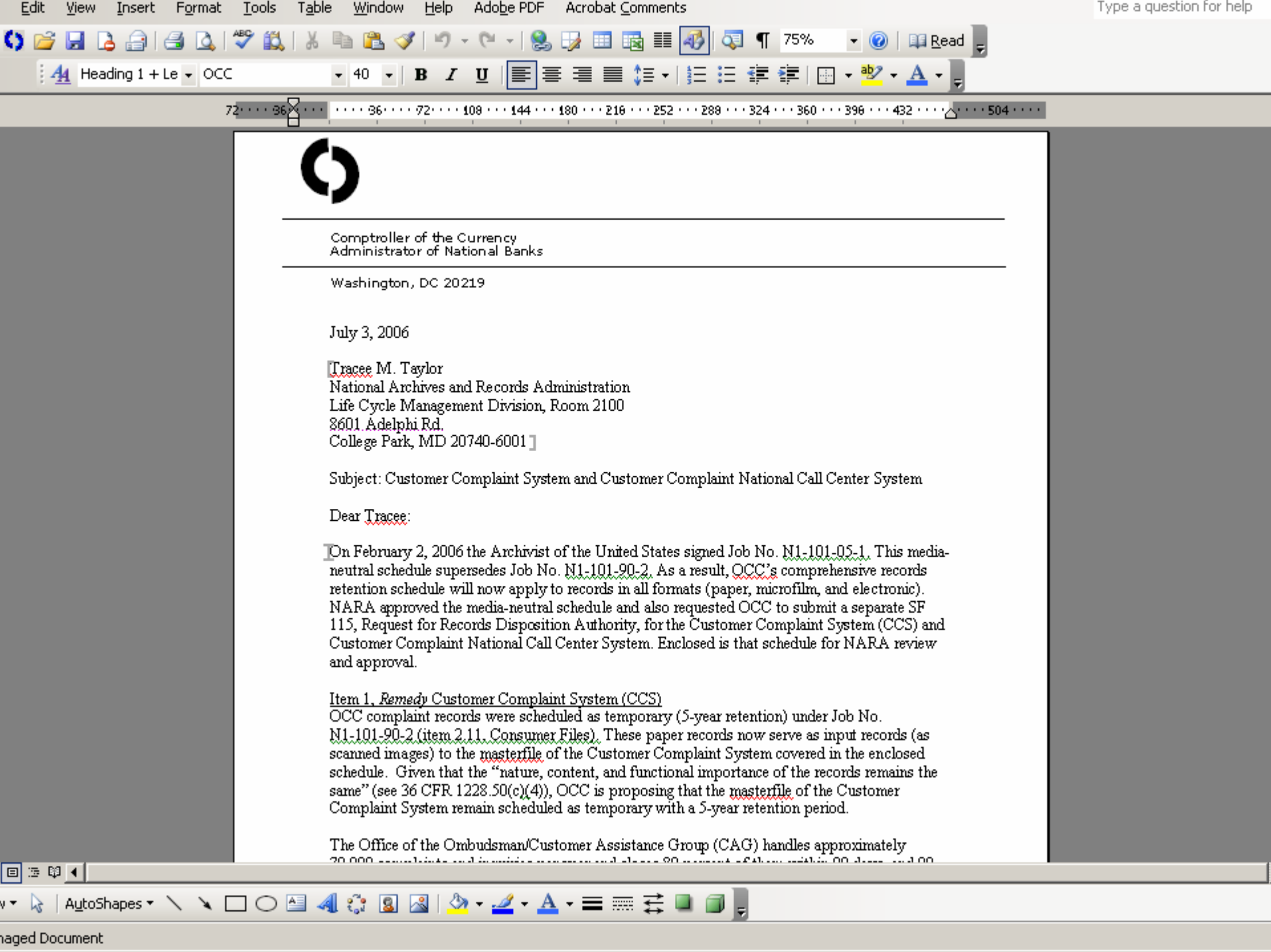
WISDM has been configured for OCC system users.

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

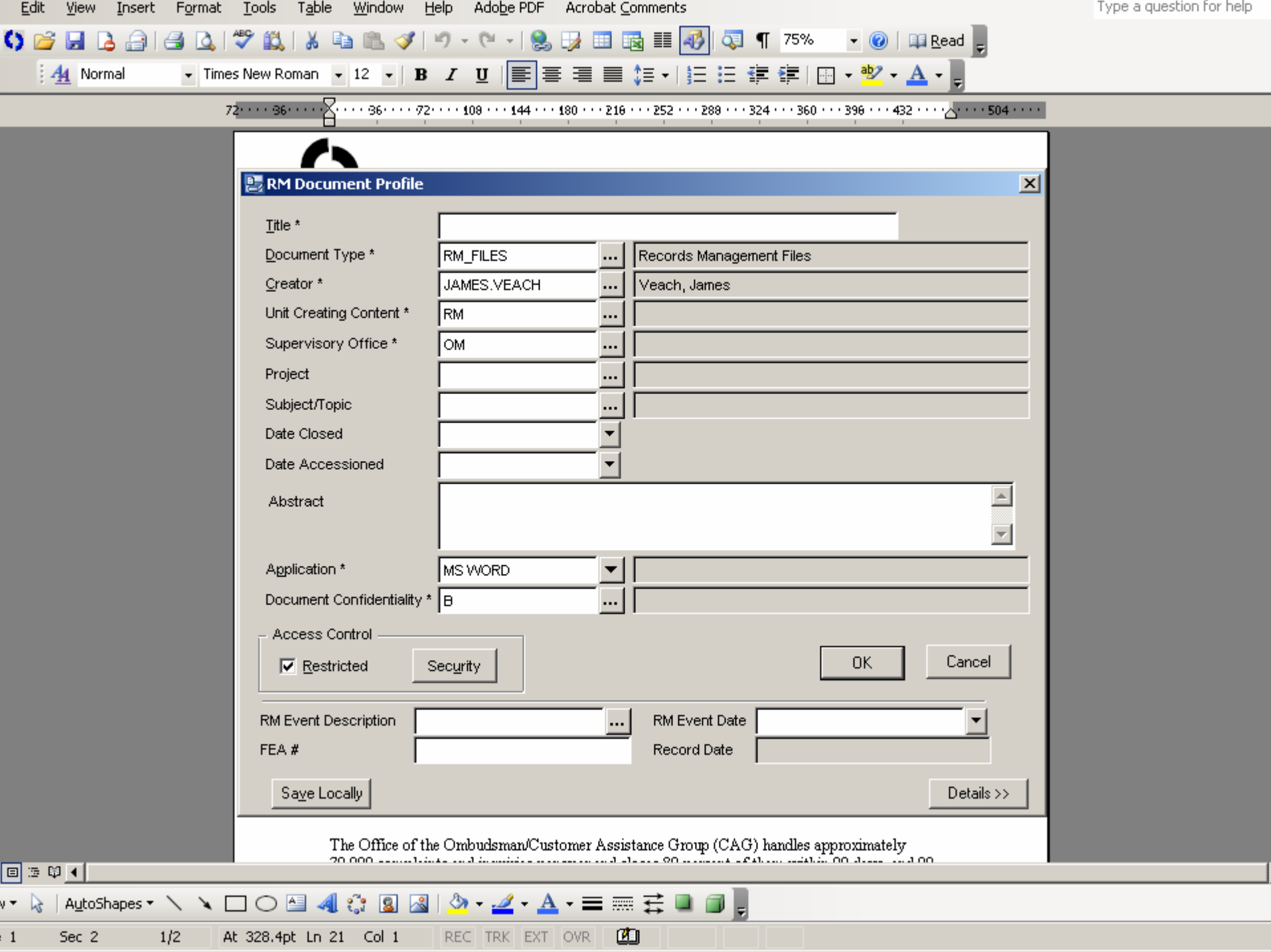
Dear Tracee:

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 30,000 complaints and inquiries per year and closes 80 percent of them within 90 days and 100 percent within 180 days.



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 20,000 complaints and inquiries per year and closes 80 percent of them within 90 days and 100

- Desktop
- My Documents
- My Computer
- My Network Places
- Recycle Bin
- Windows Explorer DM Extension
- Applications
- <Recently Edited Documents>
- Templates
- My Workspaces
- 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

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			

Profile Preview Viewer Versions Where Used Contents Related

Select Part To Assign

File Document Search Options RMAAdmin Help

- OCDDMRM_STG
 - Quick Searches
 - <Template Documents>
 - <Checked-out Documents>
 - Search 4
 - Search 3
 - <Recently Used Files/Parts>
 - <Pending Requests>
 - "*pre-exit*"
 - 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

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

Generic event Generic de

Easy Search: #725

- GRS 23.01 Office Administrative Files
- GRS 23.08 Tracking and Control Records

Folders

- Desktop
- My Documents
- My Computer
- My Network Places
- Recycle Bin
- Windows Explorer DM Extension
 - Applications
 - <Recently Edited Documents>
 - Templates
 - My Workspaces
 - Favorite Workspaces
 - OCCDMRM_STG
 - 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

Versions | Attachments

#	Last Edit Date	Status	Author	Typist
1	4/24/2008 3:58:15 PM	Read-only	DONNA.BLANKENSHIP	DONNA.BLANKENSHIP

Comments:

Original version.

Navigation: Profile | Preview | Viewer | Versions | Where Used | Contents | Related



Comptroller of the Currency
Administrator of National Banks

US Department of the Treasury

Questions?

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