

# **RMA**



***RISK MANAGEMENT AGENCY***

United States Department of Agriculture

## **Agency Records Program**

25 May 2011

# Background

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- NARA Federal Records certification
- Started as local initiative, expanded agency wide, 500 employees, 16 locations nationwide
- Management support
- NARA Targeted Assistance
- Team members

# Record Schedules

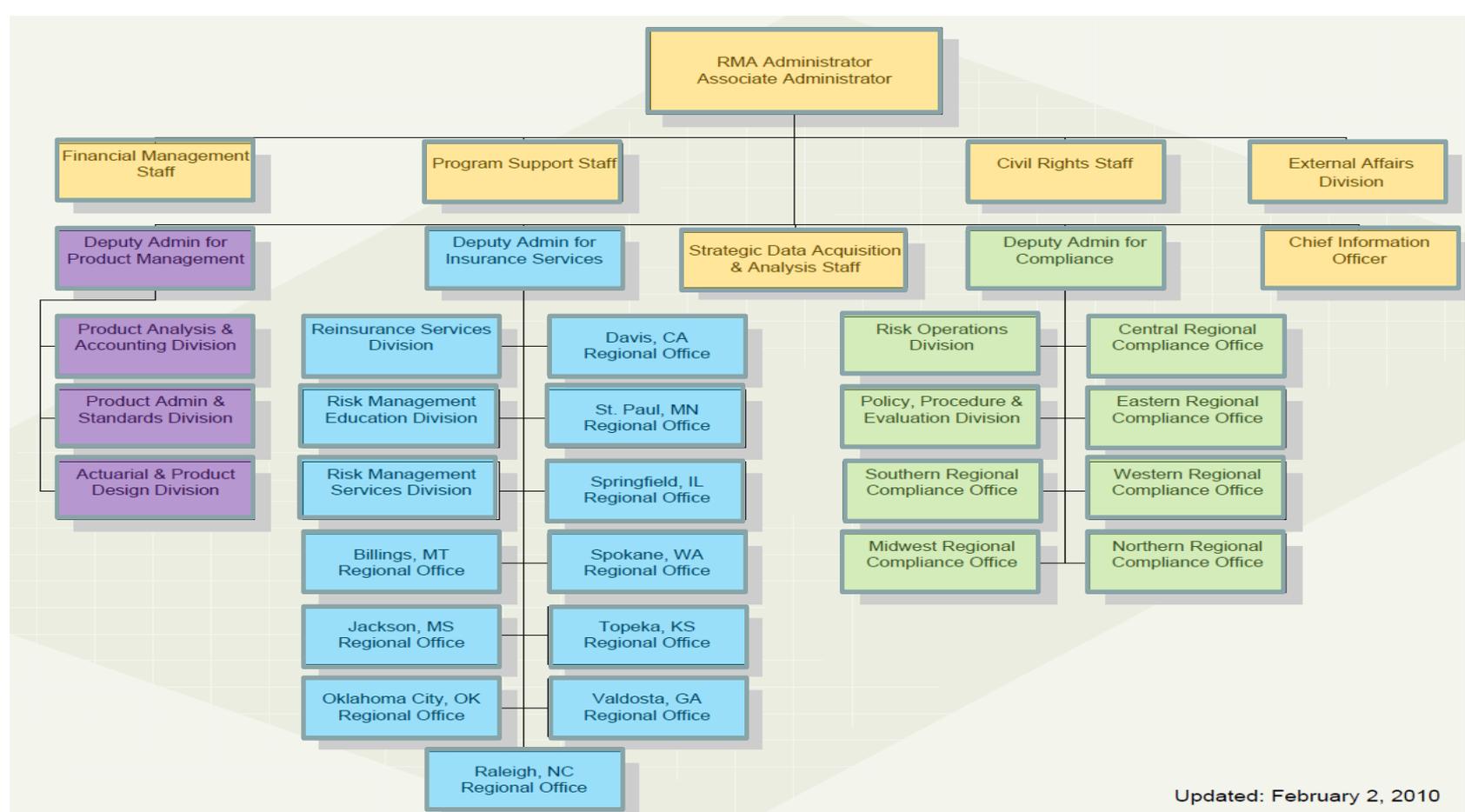
- Record Schedules
  - 34 submitted
  - 18 pending at NARA
  - 16 approved
- Electronic System Schedules
  - 5 submitted
  - 3 pending at NARA
  - 2 approved

# Agency File Plan

- Basis of entire Electronic Records Management System (ERMS)
- Multi-level numbering system
- Ability to cross-reference record schedules with files

File_Plan_Number	USDA_File_Code	USDA_Title	Cut-Off_Description	RMA_Disposition	Type_of_Material	Records_Schedule	Record_Type
0900	RMGT-4	Records Management Files	Cut-off at the end of the CalYear	Destroy 6 years after cut-off.	Correspondence, reports, authorizations, and other records that relate to the management of agency records, including such matters as forms, correspondence, reports, mail, and files management. File chronologically.	GRS 16, Item 7	Temporary
0900-1	RMGT-4.b	File Plan	Cut-off at the end of the CalYear	Destroy 2 years after cut-off.	File chronologically.	GRS 23, Item 1	Temporary
0910	RMGT-2	Records Disposition	Cut-off at the end of the CalYear	Destroy 6 years after the related records are destroyed or after the related records are transferred to the National Archives of the United States, whichever is applicable.	Basic documentation of records description and disposition programs and all other aspects of records disposition not covered elsewhere in this schedule. File chronologically.	GRS 16, Item 2.a.2	Temporary
0910-1	RMGT-2	SF-135s	Cut-off at the end of the CalYear	Destroy 6 years after the related records are destroyed or after the related records are transferred to the National Archives of the United States, whichever is applicable.	SF 135, Records Transmittal and Receipt Forms. File by division and then accession number.	GRS 16, Item 2.a.2	Temporary
0910-2	RMGT-1	SF-115s	Cut-off at the end of the CalYear	Destroy 2 years after superseded.	SF 115s that have been approved by NARA. File chronologically.	GRS 16, Item 2.a.1	Temporary
0910-3	RMGT-2	SF-258s	Cut-off at the end of the CalYear	Destroy 6 years after the related records are destroyed or after the related records are transferred to the National Archives of the United States, whichever is applicable.	SF 258, Agreement to Transfer Records to National Archives of the United States. File by division and then control number.	GRS 16, Item 2.a.2	Temporary

# Electronic Records Management System Design



Updated: February 2, 2010

# Electronic Records Management System

RMA Compliance Records Center

DAC Regional Offices SIB RCT CARS SANC OIGL AL Ad Hoc Search
This Site: DAC

Office of the Deputy Administrator for Compliance

- RC DAC 0900 Records Management
- RC DAC 1000 Administrative
- RC DAC 2000 Finance and Accounting
- RC DAC 3000 Communications and General
- RC DAC 4000 Personnel
- RC DAC 5000 Procurement and Property Management
- RC DAC 6000 Risk Compliance
- Lists**
- Record Expiration Tasks

**Welcome to the Deputy Administrator for Compliance Electronic Records Management System (ERMS) search center. In this area you may enter as much or as little information that you want in order to retrieve your requested documents.**

**If you have problems with this site please contact the RMA IT Help Desk via email or call 816-926-1126. Thank you!**

**DAC Records Center Search**

Search for documents where...

<b>FilePlan (Text)</b> =	<input type="text"/>	And
<b>DocumentType (Text)</b> =	<input type="text"/>	And
<b>RMASubject (Text)</b> Contains	<input type="text"/>	And
<b>CategoryName (Text)</b> =	<input type="text"/>	And
<b>PlanOfInsurance (Text)</b> =	<input type="text"/>	And
<b>CropProgramName (Text)</b> =	<input type="text"/>	And
<b>CropState (Text)</b> =	<input type="text"/>	And
<b>RequestorLastName (Text)</b> Contains	<input type="text"/>	And
<b>ControlNumberType (Text)</b> =	<input type="text"/>	And
<b>ControlNumber (Text)</b> Contains	<input type="text"/>	And
<b>RMAKeywords (Text)</b> Contains	<input type="text"/>	And
<b>DocumentDate (DateTime)</b> >=	<input type="text"/>	And
<b>DocumentDate (DateTime)</b> <=	<input type="text"/>	And
<b>CutoffType (Text)</b> =	<input type="text"/>	And
<b>RMACounty (Text)</b> Contains	<input type="text"/>	And
<b>Document Status (Text)</b> =	<input type="text" value="Open"/>	And
<b>Division (Text)</b> =	<input type="text"/>	And
<b>ScanUser (Text)</b> Contains	<input type="text"/>	And

Sort By

X

Results Limit

Page Size

**KnowledgeLake Query Results**

Awaiting Query...

# Electronic Records Management System

 RMA Insurance Services Records Center

DAIS RMED RMSD RSD Regional Offices Ad Hoc Search

This Site: DAIS Records Center

- Record Series Libraries**
- IS DAIS 0900 Records Management
  - IS DAIS 1000 Administrative
  - IS DAIS 2000 Finance and Accounting
  - IS DAIS 3000 Communications and General
  - IS DAIS 4000 Personnel
  - IS DAIS 5000 Procurement and Property Management
  - IS DAIS 7000 Insurance Services
- Lists**
- Record Expiration Tasks

Welcome to the **DAIS** Electronic Records Management System (ERMS) search center. In this area you may enter as much or as little information that you want in order to retrieve your requested documents.

If you have problems with this site please contact the [RMA IT Help Desk](#) via email or call 816-926-1126. Thank you!

## DAIS Records Center Search

Search for documents where...

FilePlan (Text) =	<input type="text"/>	And
RMASubject (Text) Contains	<input type="text"/>	And
CategoryName (Text) =	<input type="text"/>	And
PlanOfInsurance (Text) =	<input type="text"/>	And
CropProgramName (Text) =	<input type="text"/>	And
CropState (Text) =	<input type="text"/>	And
RequestorLastName (Text) Contains	<input type="text"/>	And
ControlNumberType (Text) =	<input type="text"/>	And
ControlNumber (Text) Contains	<input type="text"/>	And
RMAKeywords (Text) Contains	<input type="text"/>	And
DocumentDate (DateTime) >=	<input type="text"/>	And
DocumentDate (DateTime) <=	<input type="text"/>	And
CutoffType (Text) =	<input type="text"/>	And
RMACounty (Text) Contains	<input type="text"/>	And
Document Status (Text) =	Open <input type="text"/>	And
Division (Text) =	<input type="text"/>	And
ScanUser (Text) Contains	<input type="text"/>	

Sort By

FilePlan (Text)  Ascending   X

Results Limit  Page Size

100 25

Search Reset

KnowledgeLake Query Results

Awaiting Query...



# Electronic Records Management System

- Record Series Libraries
  - OA Admin 0900 Records Management
  - OA Admin 1000 Administrative
  - OA Admin 2000 Finance Accounting
  - OA Admin 3000 Communications General
  - OA Admin 4000 Personnel
  - OA Admin 5000 Procurement Property
  - OA Admin 8000 Office Admin
- Lists
  - Record Expiration Tasks

Welcome to the **Office of the Administrator Electronic Records Management System (ERMS)** search center. In this area you may enter as much or as little information that you want in order to retrieve your requested documents.

If you have problems with this site please contact the **RMA IT Help Desk** via email or call 816-926-1126. Thank you!

### Administrator Records Center Search

Search for documents where...

FilePlan (Text) =	<input type="text"/>	And
DocumentType (Text) =	<input type="text"/>	And
RMASubject (Text) Contains	<input type="text"/>	And
CategoryName (Text) =	<input type="text"/>	And
PlanOfInsurance (Text) =	<input type="text"/>	And
CropProgramName (Text) =	<input type="text"/>	And
CropState (Text) =	<input type="text"/>	And
RequestorLastName (Text) Contains	<input type="text"/>	And
ControlNumberType (Text) =	<input type="text"/>	And
ControlNumber (Text) Contains	<input type="text"/>	And
RMAKeywords (Text) Contains	<input type="text"/>	And
DocumentDate (DateTime) >=	<input type="text"/>	And
DocumentDate (DateTime) <=	<input type="text"/>	And
CutoffType (Text) =	<input type="text"/>	And
RMACounty (Text) Contains	<input type="text"/>	And
Document Status (Text) =	<input type="text"/>	And
Division (Text) =	<input type="text"/>	And
ScanUser (Text) Contains	<input type="text"/>	

Sort By  
FilePlan (Text) Ascending

Results Limit Page Size  
100 25

Search Reset

KnowledgeLake Query Results

Awaiting Query...

# Electronic Records Management System

 RMA Product Management Records Center

DAMP Records APDD Records PAAD Records PASD Records Ad Hoc Search   [Advanced Search](#)

- Record Series Libraries**
- PM DAPM 0900 Records Management
  - PM DAPM 1000 Administrative
  - PM DAPM 2000 Finance and Accounting
  - PM DAPM 3000 Communications and General
  - PM DAPM 4000 Personnel
  - PM DAPM 5000 Procurement and Property Management
  - PM DAPM 9000 Crop and Program
- Lists**
- RecordExpirationTasks
- APDD Records**
- PAAD Records**
- PASD Records**

Welcome to the **DAMP** Electronic Records Management System (ERMS) search center. In this area you may enter as much or as little information that you want in order to retrieve your requested documents.

If you have problems with this site please contact the **RMA IT Help Desk** via email or call 816-926-1126. Thank you!

### KnowledgeLake Query Builder

Search for documents where...

FilePlan (Text) =	<input type="text"/>	And
DocumentType (Text) =	<input type="text"/>	And
RMASubject (Text) Contains	<input type="text"/>	And
CategoryName (Text) =	<input type="text"/>	And
PlanOfInsurance (Text) =	<input type="text"/>	And
CropProgramName (Text) =	<input type="text"/>	And
CropState (Text) =	<input type="text"/>	And
RequestorLastName (Text) Contains	<input type="text"/>	And
ControlNumberType (Text) =	<input type="text"/>	And
ControlNumber (Text) Contains	<input type="text"/>	And
RMAKeywords (Text) Contains	<input type="text"/>	And
DocumentDate (DateTime) >=	<input type="text"/>	And
DocumentDate (DateTime) <=	<input type="text"/>	And
CutoffType (Text) =	<input type="text"/>	And
Document Status (Text) =	<input type="text"/>	And
Division (Text) =	<input type="text" value="DAMP"/>	And
ScanUser (Text) Contains	<input type="text"/>	

Sort By	Results Limit	Page Size
<input type="text" value="FilePlan (Text)"/> <input type="text" value="Ascending"/> <input type="text" value="X"/>	<input type="text" value="150"/>	<input type="text" value="50"/>

### KnowledgeLake Query Results

Awaiting Query...



# Input Methods

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- **Knowledgelake Capture**
  - Large documents used with high speed scanners
- **Knowledgelake Connect**
  - Electronic documents, Email, Instant Messages
- **Knowledgelake Webcapture**
  - Small documents used with personal desktop scanners

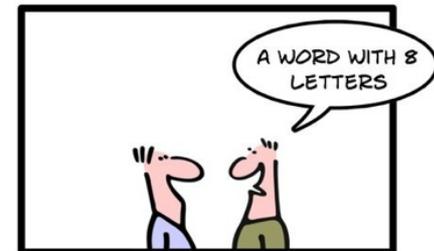
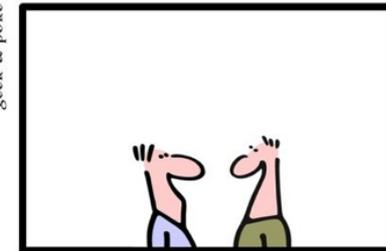
# Metadata

- Pre-populated codes and retention
- Mandatory fields
- Identical regardless of input method
- Multiple checkbox capability
- Location to mark Litigation Hold
- Close document to start retention

*SIMPLY EXPLAINED:  
METADATA*



geek & poke



# Knowledgelake Capture

- Scan large paper documents (>50 pages)
- Ability to scan multiple documents and lock fields for faster indexing
- Releases to a backend server that performs OCR processing to make scanned image text searchable (i.e. section 508 compliant)

The screenshot displays the 'Knowledgelake Capture-Batch-2011051600001PMDAPM' window. The interface includes a menu bar (Home, Insert, Scan, Index) and a toolbar with icons for navigation (First, Previous, Next, Last, Delete), field management (Lock Field), zooming (Zoom In, Zoom Out, Fit), and document actions (Choose Template, Skip indexed documents). The main area is split into two panes. The left pane, labeled 'Batch', shows a scanned document page with the heading 'What Are Not Federal Records?' and a list of bullet points: 'Extra copies of documents preserved only for reference', 'Library and museum materials made or acquired and preserved solely for reference or exhibit purposes', and 'Personal Papers (non business related papers and must be maintained separately)'. The right pane, labeled 'Indexing Document 1', contains a form for document classification. The 'Document Class' is set to 'RC DAC 0900 Records Management'. Other fields include '\*FilePlan', 'USDA File Code', 'Cut-off Type', 'File Plan Title', '\*Document Date' (set to 5/16/2011), and '\*RMA Subject'. At the bottom right, there are 'Accept', 'Clear', and 'Cancel' buttons.

# High Speed Scan Station Locations

- **Compliance**
  - 6 Regional Offices
  - 1 WDC Office
- **Insurance Services**
  - 10 Regional Offices
  - 3 WDC Offices
- **Office of the Administrator**
  - 4 WDC Offices
  - 1 Kansas City Office
- **Product Management**
  - 5 Kansas City Offices

# Knowledgelake Connect

- Document upload tool
- Desktop tool available for all users
- Electronic documents
- Email
- Instant messages
- Batch creation for faster indexing
- Single file upload
- Multiple file upload
- Scanning capability
- Can integrate with other LOB (line of business) applications

KnowledgeLake Connect

RMA Product Management Records Center

- PM APDD 0900 Records Management
- PM APDD 1000 Administrative
- PM APDD 2000 Finance and Accounting
- PM APDD 3000 Communications General
- PM APDD 4000 Personnel
- PM APDD 5000 Procurement and Property
- PM APDD 9000 Crop and Program
- PM APDD 9180-1 Pricing Documents
- PM DAPM 0900 Records Management**
- PM DAPM 1000 Administrative
- PM DAPM 2000 Finance Accounting
- PM DAPM 3000 Communications General
- PM DAPM 4000 Personnel Related
- PM DAPM 5000 Procurement and Property
- PM DAPM 9000 Crop and Program
- PM PAAD 0900 Records Management
- PM PAAD 1000 Administrative
- PM PAAD 2000 Finance and Accounting
- PM PAAD 3000 Communications and General
- PM PAAD 4000 Personnel
- PM PAAD 5000 Procurement and Property
- PM PAAD 9000 Crop and Program
- PM PAAD FAOB 9000 Crop and Program
- PM PASD 0900 Records Management
- PM PASD 1000 Administrative
- PM PASD 2000 Finance Accounting
- PM PASD 3000 Communications General
- PM PASD 4000 Personnel

Document Class: Docclass\_PM\_DAPM\_0900RecordsManagement

FilePlan: 0910-1

USDA File Code: RMGT-2

Cut-off Type: CalYear

File Plan Title: SF-135s

Document Date: 5/16/2011

RMA Subject: Value is required.

Document Type: Correspondence-General

RMA Category:

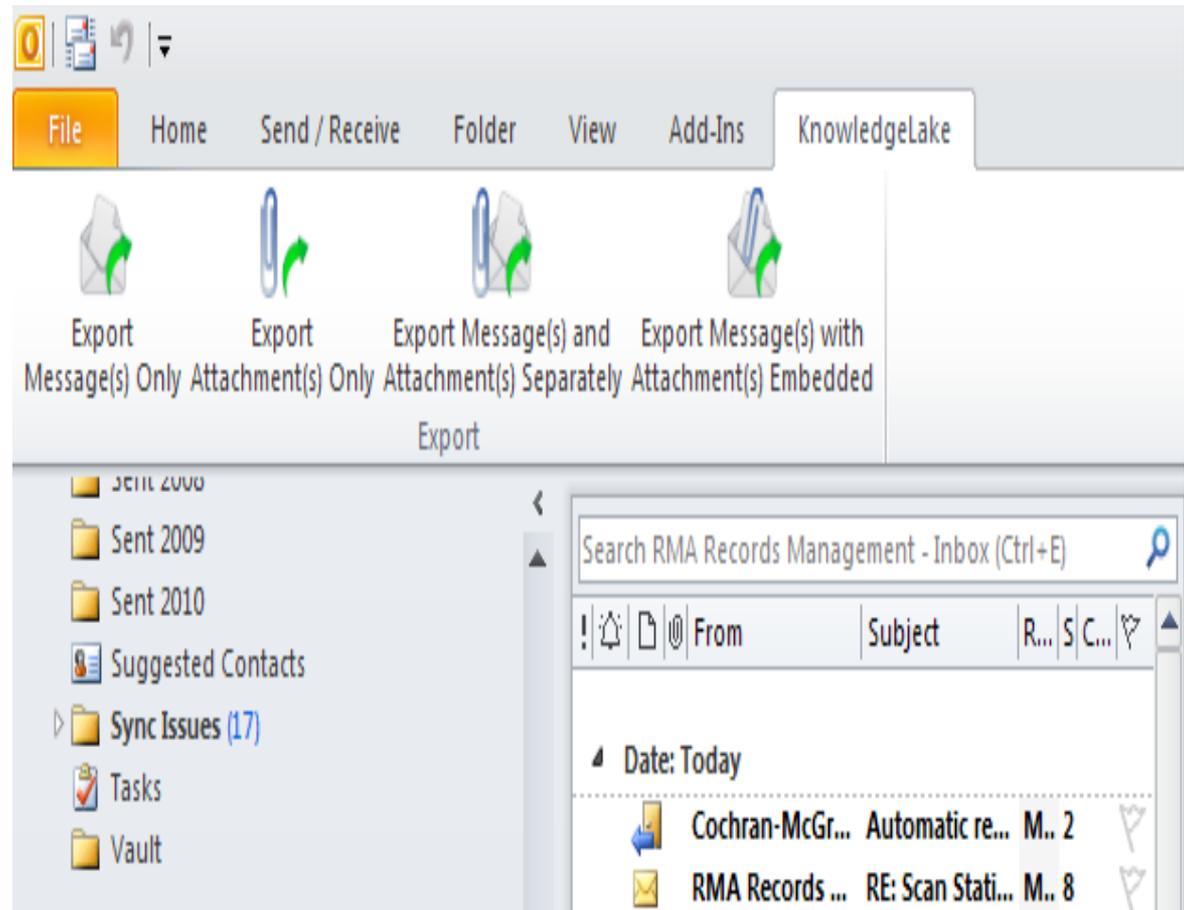
- 508 H Documentation
- Accounting Documentation
- Actuarial
- Added Land
- Administrative
- Agribusiness Company Request
- AIP Request

Accept Cancel

View rma\_org.pdf

# E-Mail

- KL Connect installs add-in to MS Outlook menu
- Email exported from MS Outlook to KL Connect
- 4 exporting options available
- Indexing applied in KL Connect
- Opens in Sharepoint as regular email including attachments



# Knowledgelake Webcapture

- Browser based utility similar to Capture
- For scanning smaller documents (<50 pages)
- All users can access and use with personal desktop scanner
- Releases to a backend server that performs OCR processing to make scanned image text searchable (i.e. section 508 compliant)

The screenshot displays the Knowledgelake Web Capture application interface. The top navigation bar includes 'Home' and 'Annotation' tabs, along with a search bar and a 'Thumbnails Off' button. The main content area is divided into two sections:

**Left Section:** A large text area containing the question "What Are Not Federal Records?" followed by a list of document types: "copies of documents preserved only for reference", "y and museum materials made or acquired and preserved solely for", "nce or exhibit purposes", "nal Papers (non business related papers and must be maintained", and "ately)".

**Right Section:** A 'Document Properties' form with the following fields:

- Document Class: FIM DAPM 0900 Records Management
- FilePlan \*: 0900-1
- USDA File Code: RINGT-4-b
- Cul-off Type: Cal/Year
- File Plan Title: File Plan
- Document Date \*: 5/16/2011
- RMA Subject \*: [Empty]
- Document Type \*: Audio

Below the form is a list of categories with checkboxes, including: 508 H Documentation, Accounting Documentation, Actuarial, Added Land, Administrative, Agribusiness Company Request, AIF Request, Audits, Budget, Case Files, Civil Rights, Contracts, Determined Yield, Expert Review, FISC, Federal Regulations, Final Agency Determination, FOIA, Grants, Cooperative Agreements & Partnerships, Grower Request, Handbooks, Insurance Plans, Legal, and Legislation.

# Search Results

- Ability to search multiple metadata fields
- More granular filtering with multiple search criteria
- Can choose sorting criteria by any field in ASC or DESC order
- Ability to search by site, or entire site collection
- Data is available to search within 15 minutes of input

**KnowledgeLake Query Builder**  
 Search for documents where...

FilePlan (Text) =  And  
 DocumentType (Text) =  And  
 RMASubject (Text) Contains  And  
 CategoryName (Text) =  And  
 PlanOfInsurance (Text) =  And  
 CropProgramName (Text) =  And  
 CropState (Text) =  And  
 RequestorLastName (Text) Contains  And  
 ControlNumberType (Text) =  And  
 ControlNumber (Text) Contains  And  
 RMAKeywords (Text) Contains  And  
 DocumentDate (DateTime) >=  And  
 DocumentDate (DateTime) <=  And  
 CutoffType (Text) =  And  
 Document Status (Text) =  And  
 Division (Text) =  And  
 ScanUser (Text) Contains

Sort By  
 FilePlan (Text)  Ascending

**KnowledgeLake Query Results**

	FilePlan (Text)	DocumentType (Text)	RMASubject (Text)	DocumentDate (DateTime)	CategoryName (Text)	Division (Text)
	9040-1;	Correspondence-General	Proposed Solutions to Apple Policy Problems	4/24/2006 12:00:00 AM	Program Documentation;	DAPM
	9040-1;	Correspondence-General	Response to Mr Haney on concerns with the Apple Crop Insurance Provisions proposed rule	3/31/2010 5:00:00 AM	Program Documentation;	DAPM
	9040-1;	Correspondence-General	Concern from the New York State apple producers regarding changes made the the Apple Crop Provisions for the 2011 crop year	12/2/2010 6:00:00 AM	Program Documentation;	DAPM
	9040-3;	Response	Apple Crop Provisions Proposed	1/26/2010 6:00:00 AM	Practices & Provisions; Program Documentation;	DAPM
	9040-3;	Congressional Correspondence-Senate	Response to Richard Burr on support the Final Rule for the 2011 Apple Crop Insurance Provisions	11/30/2010 12:00:00 AM	Program Documentation;	DAPM

# Records Disposition

- Retention module built into Sharepoint
- Triggers as soon as document is closed
- Ability to view document prior to destruction
- Retentions maintained in Sharepoint list

RecordExpirationTasks								
New		Actions		Settings		View: All Tasks		
ID	Title	Assigned To	Status	Priority	Due Date	% Complete	Link	Outcome
	Disposition approval: 2010021000009PMDADL01.PDF		Not Started	(2) Normal			2010021000009PMDADL01	
	Disposition approval: 2009100800010PMDADL01.PDF		Not Started	(2) Normal			2009100800010PMDADL01	
	Disposition approval: 2009083100036PMDADL01.PDF		Not Started	(2) Normal			2009083100036PMDADL01	
	Disposition approval: NARA ERM Guidance.pdf		Not Started	(2) Normal			NARA ERM Guidance	
	Disposition approval: Delegation of Authority 11-5-08.PDF		Not Started	(2) Normal			Delegation of Authority 11-5-08	
	Disposition approval: Demo 4 - IS News Release.pdf		Not Started	(2) Normal			Demo 4 - IS News Release	
	Disposition approval: Tim Hoffmann Delegation and Issuance Authority.PDF		Not Started	(2) Normal			Tim Hoffmann Delegation and Issuance Authority	
	Disposition approval: Tim Witt Delegation and Issuance Authority.PDF		Not Started	(2) Normal			Tim Witt Delegation and Issuance Authority	
	Disposition approval: May 08 Delegation of Authority.PDF		Not Started	(2) Normal			May 08 Delegation of Authority	
	Disposition approval: Mary Alonzo Delegation and Issuance Authority.PDF		Not Started	(2) Normal			Mary Alonzo Delegation and Issuance Authority	
	Disposition approval: 2008031700041DDocument 2.pdf		Not Started	(2) Normal			2008031700041DDocument 2	
	Disposition approval: 2008031700041DDocument 1.pdf		Not Started	(2) Normal			2008031700041DDocument 1	
	Disposition approval: 2008031700040DDocument 1.pdf		Not Started	(2) Normal			2008031700040DDocument 1	
	Disposition approval: 2008031700039DDocument 1.pdf		Not Started	(2) Normal			2008031700039DDocument 1	

# Records Disposition

- Deletion of document requires prior user approval
- Multi-level approval to aid in unauthorized destruction
- Ability to retain past retention for litigation hold or special circumstances

RMA Product Management Records Center > DAPM Records > RecordExpirationTasks > Disposition approval: Mary Alonzo Delegation and Issuance Authority.PDF

RecordExpirationTasks: Disposition approval: Mary Alonzo Delegation and Issuance Authority.PDF

[X Delete Item](#)

 This workflow task applies to Mary Alonzo Delegation and Issuance Authority.

Disposition Approval Requested

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Disposition:

Delete this item.

Retain a copy of the item's metadata in the audit log.

Do not delete this item.

Comments:

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# System Reports

## ERMS Document Statistics

Site	Document Libraries		
Ad Hoc Search	<b>Document Library</b>	<b>Author Information</b>	
APDD Records Center	<b>Document Library</b>	<b>Author Information</b>	
	0900RecordsManagementDocuments	<b>Author</b>	<b>Last Modified</b>
			<b>Total Documents</b>
		teresa.ballard	2010-09-27 10:40:56
		quintrell.hollis	2010-09-27 10:42:37
		margaret.flood	2010-08-19 13:52:39
		jon.adam	2011-01-19 14:31:19
			17
			37
			1
			1
	1000_DispositionHistory	<b>Author</b>	<b>Last Modified</b>
			<b>Total Documents</b>
			0
	1000AdminDocuments	<b>Author</b>	<b>Last Modified</b>
			<b>Total Documents</b>
		teresa.ballard	2010-08-19 11:04:17
		deidre.parker	2011-04-27 13:48:27
		debra.lackey	2010-08-19 11:04:17
			5
			1
			1
	2000FinanceAccounting	<b>Author</b>	<b>Last Modified</b>
			<b>Total Documents</b>
		teresa.ballard	2010-08-19 11:10:40
		debra.lackey	2010-08-19 11:08:37
		deidre.parker	2011-04-08 11:55:10
			29
			4
			3
	3000CommunicationsGeneral	<b>Author</b>	<b>Last Modified</b>
			<b>Total Documents</b>
		teresa.ballard	2010-08-19 12:08:16
		deidre.parker	2011-03-18 09:02:42
		karen.barnard	2011-01-28 09:27:05
		barbara.weathers	2011-01-28 09:26:57
		debra.lackey	2010-08-19 12:08:27
		ron.lundine	2011-01-28 09:24:41
		mary.lozano	2011-01-28 09:24:45
		maureen.flood	2011-01-28 09:24:46
		barbara.carter	2011-01-28 09:24:45
		mark.alderon	2011-01-28 09:27:05
			65
			1
			35
			1
			1
			6
			2
			11
			1
			4

# System Totals

## **Total allocated space: 2 Terabytes**

- **Compliance**
  - 3,277 documents (6.3 GB)
- **Insurance Services**
  - 18,772 documents (36 GB)
- **Office of the Administrator**
  - 2,074 documents (1.07 GB)
- **Product Management**
  - 27,122 documents (25.28 GB)
- **Total**
  - 51,245 documents
  - 68.65 GB

# Future Technology

- Multi-system integration into ERMS, allowing those records to be transferred and maintained in one repository
- Upgrades to the user interfaces, to make document input task easier for users
- Continual updating of the base system architecture (Sharepoint), as that technology continues to grow and evolve
- Ability to transfer electronic records to the NARA Electronic Records Archives
- Leverage the use of MFD (Multi Function Devices). Take advantage of their scanning speed and OCR technology, to make available to users as another option to input documents into ERMS



# Questions??

Erin Tecce

816-926-7394

[erin.tecce@rma.usda.gov](mailto:erin.tecce@rma.usda.gov)