

i nformation Governance, the Business Data Catalog (BDC) & Records Management

Data (noun): Representations of facts, figures, concepts

Data can be **structured** or **unstructured**

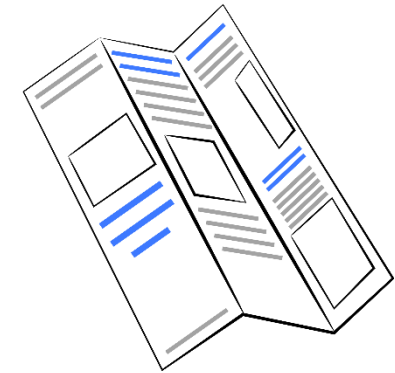


Employee Table

empl_ID	empl_lname	empl_fname	empl_dob	posn_ID
478	Doe	John	7/6/1968	950Q
479	Smith	Jane	11/2/1974	145X
480	Tripper	Jack	2/29/1976	302J
481	Brady	Carol	10/18/1943	302J
482	Ewing	Robert	5/23/1951	145X

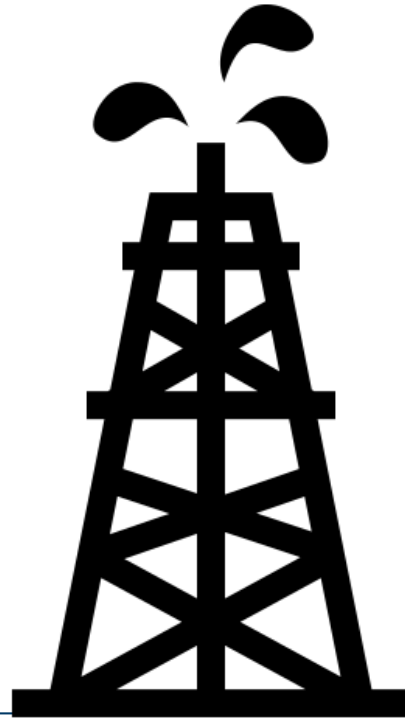
Position Table

posn_ID	posn_title
145X	Analyst
302J	Analyst Supervisor
950Q	Office Administrator

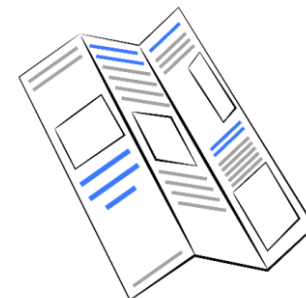


Structured data + Unstructured data = **Information**

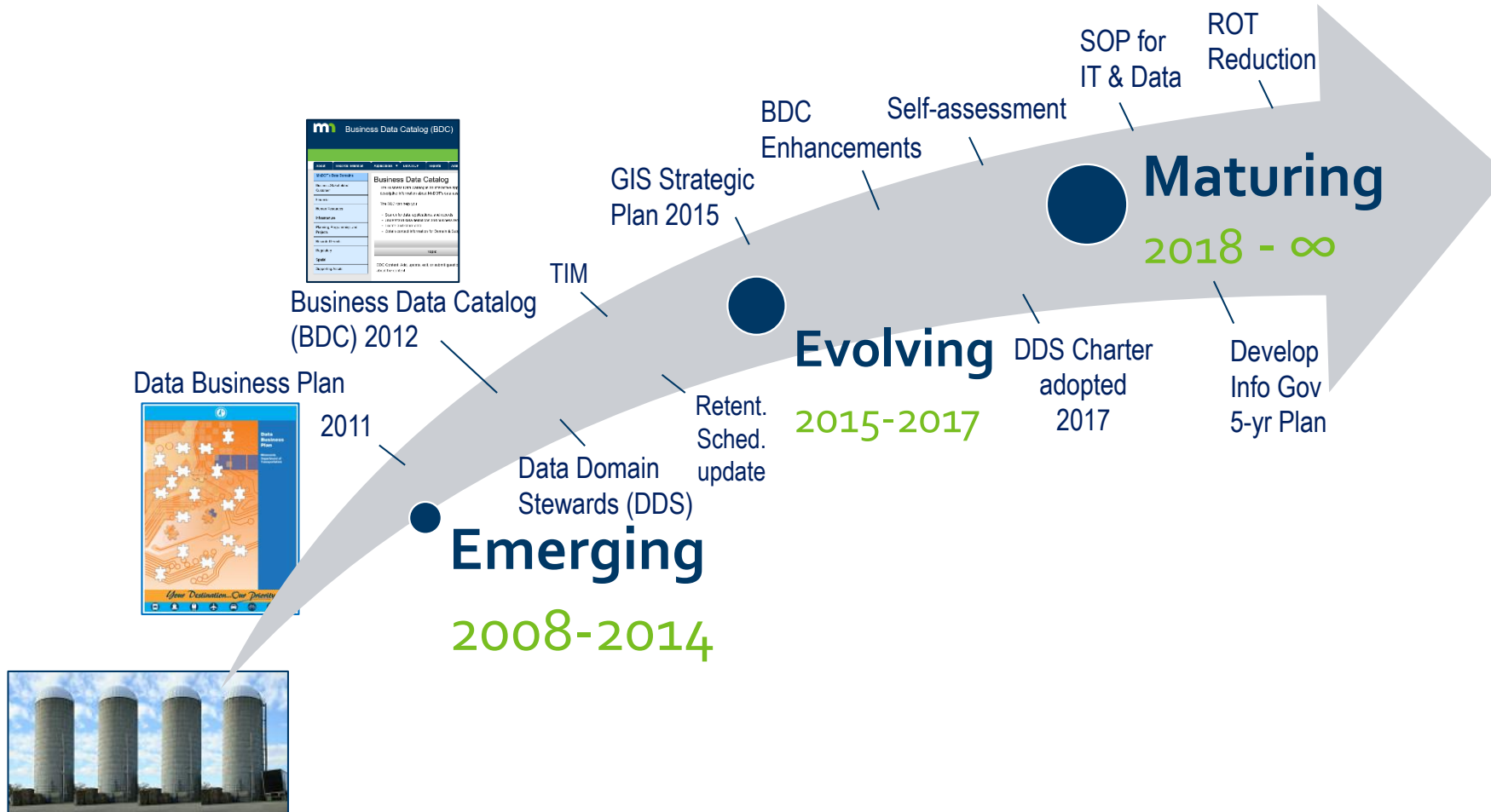
Information Governance



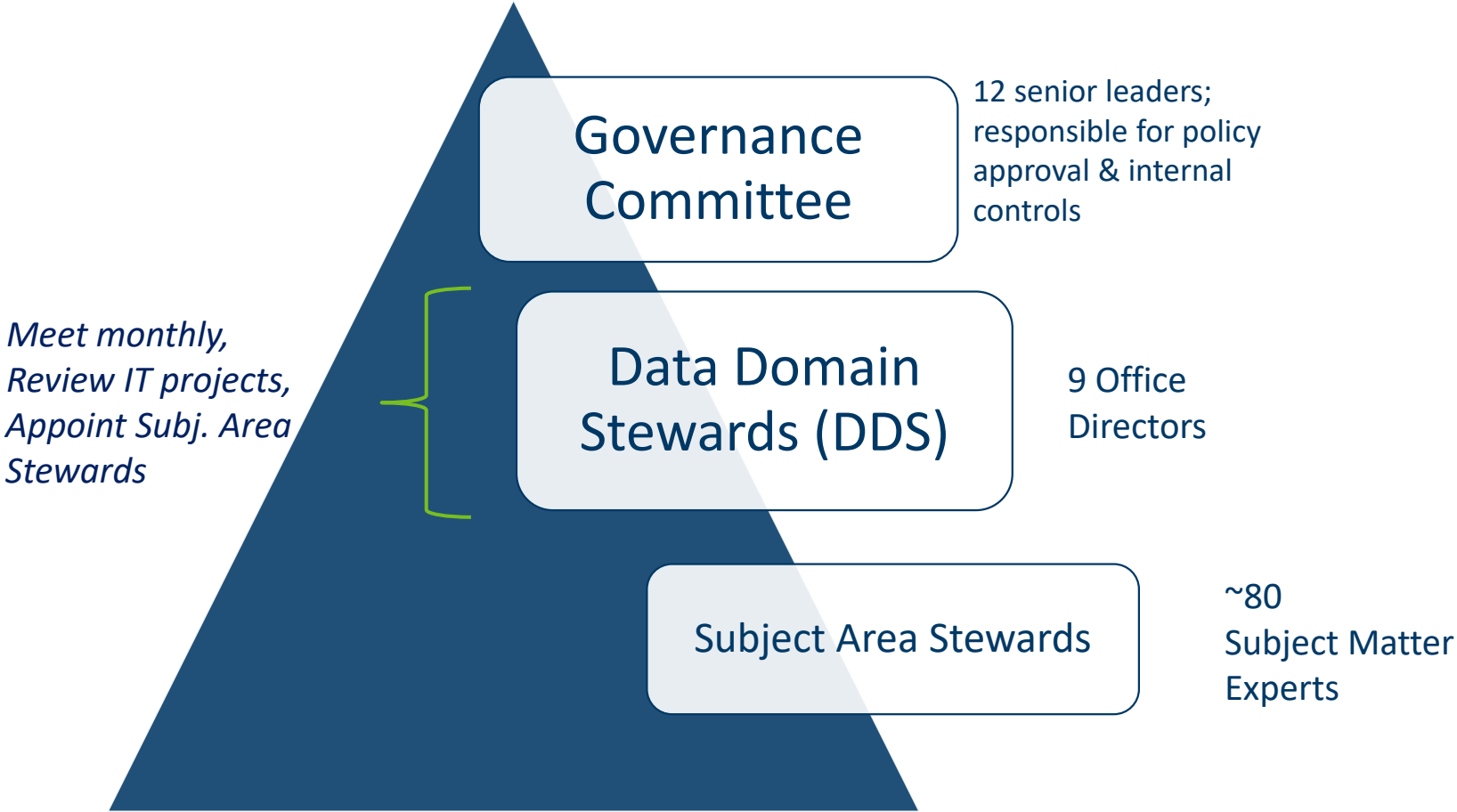
Information is an **a\$\$et**



Information Governance Timeline



MnDOT Governance Structure





1) Business Stakeholder/Customer - persons name



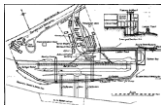
2) Financial - persons name



3) Human Resources - persons name



4) Infrastructure - persons name



5) Planning, Programming, & Projects - persons name



6) Recorded Events - persons name



7) Regulatory - persons name



8) Spatial - persons name



9) Supporting Assets - persons name

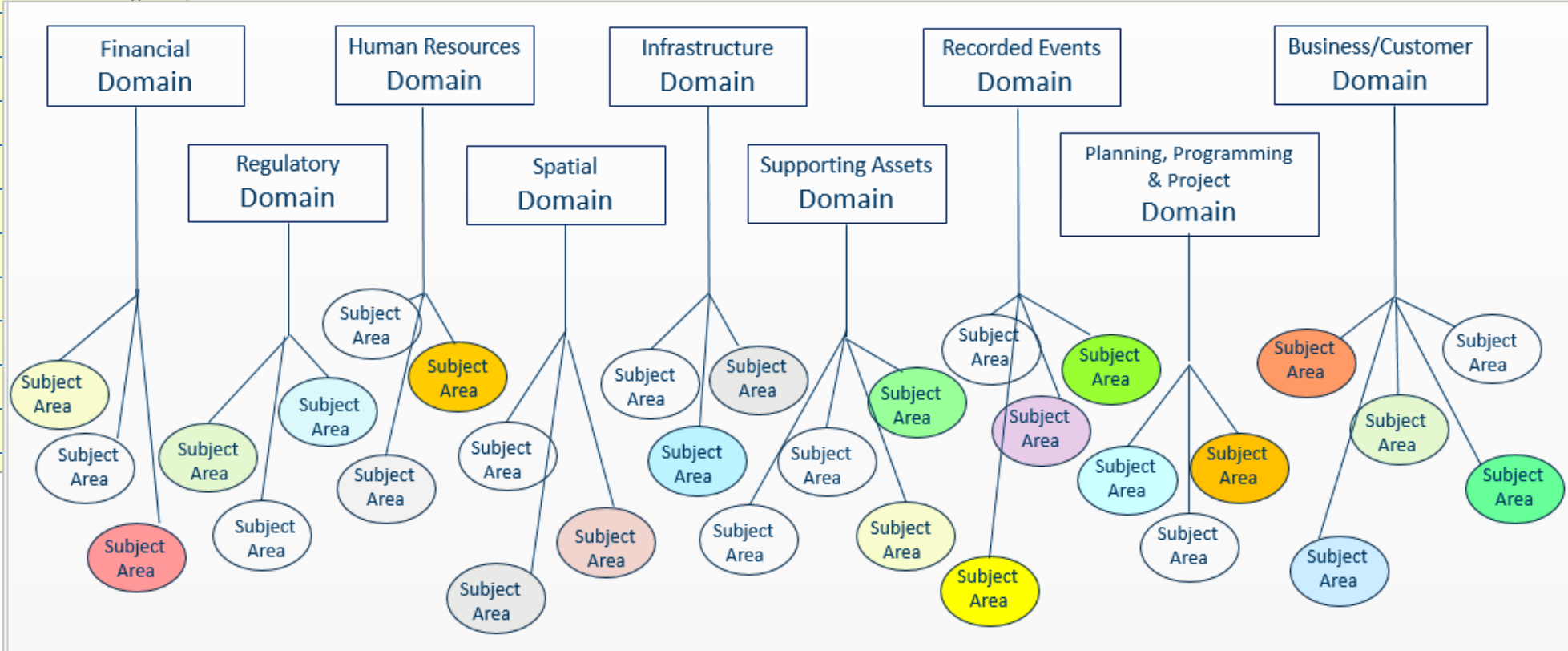


Organization of Knowledge

	<u>Groceries</u>	<u>Sporting Goods</u>	<u>Household</u>
	<i>Frozen</i>	tennis balls	light bulbs
	ice cream	gym socks	detergent
	mixed vegetables	bike helmet	throw rug
	<i>Refrigerated</i>		trash bags
	milk		
	yogurt		
	eggs		
	<i>Non-perishables</i>		
	pasta		
	soy sauce		
	cereal		
	olives		
	peanut butter		

← in daily life

at MnDOT





Advanced Search

- About
- Records Retention
- Applications ▼
- BIA/COOP
- Reports

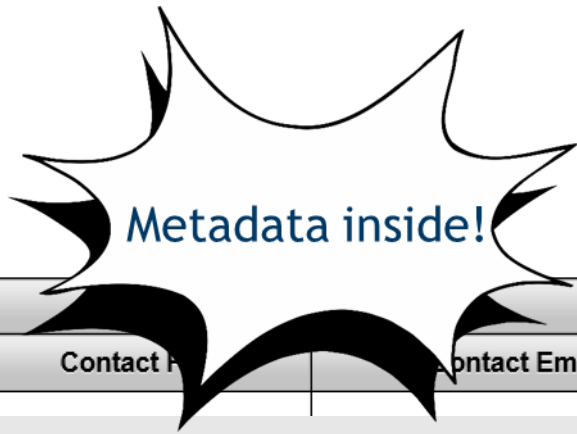
- MnDOT's Data Domains
- Business Stakeholder/ Customer
- Financial
- Human Resources
- Infrastructure
- Planning, Programming, and Projects
- Recorded Events
- Regulatory

Business Data Catalog

The Business Data Catalog is an interactive application accessible to all MnDOT staff. It is a metadata repository that stores and publishes descriptive information about MnDOT's data assets and supports the department's information governance efforts.

The BDC can help you:

- Search for data, applications, and records
- Understand data definitions and business terminology
- Locate and share data
- Obtain contact information for Domain & Subject Area Stewards



Contacts			
Topic	Contact Name	Contact P	Contact Email
Apple			

METADATA



Metadata

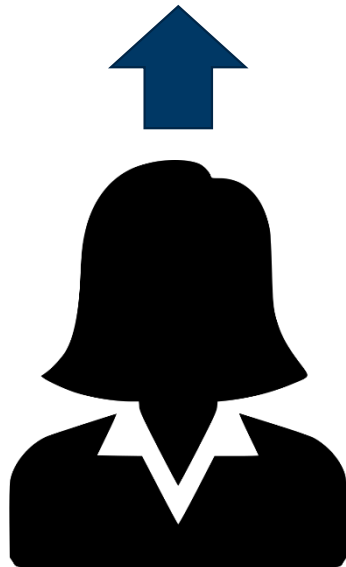


Data

METADATA



Metadata



Data



MnDOT's Data Domains

Business Stakeholder/
Customer

Financial

Human Resources

Infrastructure

Planning, Programming,
and Projects

Recorded Events

Regulatory

Spatial

Business Data Catalog

The Business Data Catalog is an interactive application accessible to all MnDOT staff. It is a metadata repository that stores and publishes descriptive information about MnDOT's data assets and supports the department's information governance efforts.

The BDC can help you:

- Search for data, applications, and records
- Understand data definitions and business terminology
- Locate and share data
- Obtain contact information for Domain & Subject Area Stewards

Contacts			
Topic	Contact Name	Contact Phone	Contact Email
	Angela		

- MnDOT's Data Domains
- Business Stakeholder/ Customer
- Financial
- Human Resources
- Infrastructure
- Planning, Programming, and Projects
- Recorded Events
- Regulatory
- Spatial
- Supporting Assets



Data Domain: Planning, Programming, and Projects
Description: Data that provides direction for, and management of, projects.
Point of Contact: [Redacted]

Domain
Subject Area
Term/Record

List of Subject Areas:

- [Construction Project Data \(Hwy Construction\)](#)
- [Cost Estimating, Cost Management & General Project Management Data](#)
- [Design & Geometric Data](#)
- [Environmental Process Data](#)
- [Information Technology \(IT\) Project Data](#)
- [Modal Plans & Project Data](#)
- [Project Scheduling Data](#)
- [Research Project Data](#)
- [Transportation Investment Management Data](#)
- [Value Engineering Data](#)



Search the BDC

Advanced Search

- About
- Records Retention
- Applications
- BIA/COOP
- Reports

MnDOT's Data Domains

Business Stakeholder/
Customer

Financial

Human Resources

Infrastructure

Planning, Programming,
and Projects

Recorded Events

Regulatory

Spatial

Supporting Assets

Subject Area: Construction Project Data (Hwy Construction)

Description: Data on the managing, planning and executing of all programmed MnDOT highway construction projects.

Data Domain: [Planning, Programming, and Projects](#)

Point of Contact: [Elisa Batt...](#)
[T...](#)

+ List of Terms

+ List of Records


+ List of Applications



Advanced Search

- About
- Records Retention
- Applications ▼
- BIA/COOP
- Reports

MnDOT's Data Domains
Business Stakeholder/ Customer
Financial
Human Resources
Infrastructure
Planning, Programming, and Projects
Recorded Events
Regulatory
Spatial
Supporting Assets

 Your search has returned results

+ Terms: 37 results.

+ Records: 1 results.

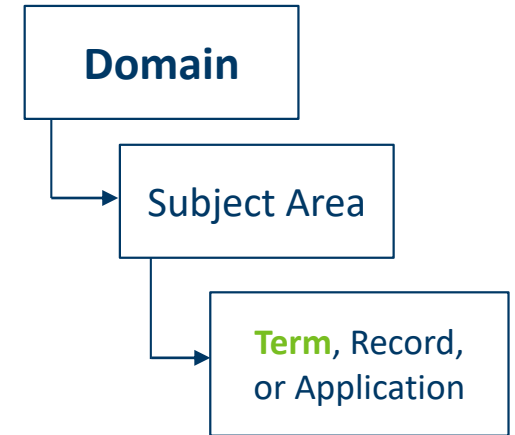
+ Application: 4 results.

...or by search.

Business Terms

Vocabulary that have **specific meaning to MnDOT** business areas or processes:

- Forms or documents
- Procedures or practices
- Statutes or regulations
- Physical objects
- Concepts
- Places
- Data elements in a database



METADATA

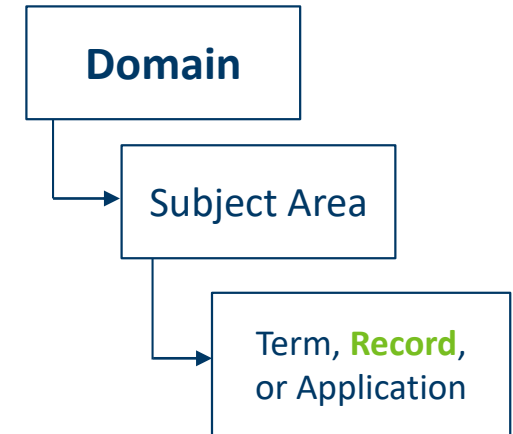
Freeway Lid	Object/Substance
Description: A land bridge constructed over a freeway trench to connect areas on both sides; lid structures are capable of supporting parks and buildings over the roadway.	
Authorized Source: Project Mgmt. and Technical Support	
Data Classification: Public	
Comments: Also known as a cap. For more information on freeway lids see the U of MN's Center for Transportation Studies or the Urban Land Institute (ULI) .	

 Hyperlinks !

Business Records

Record series **items in the records retention schedule** mapped to Data Domains and Subject Areas.

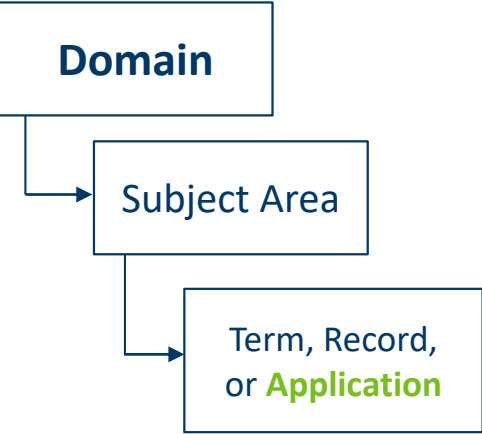
Reports are available for the entire retention schedule as well as portions of the retention schedule.



METADATA

Bridge Project File	Destroy or delete
Records Description: The final project documentation for a bridge project. 49 CFR 18.42	
Retention Start: Whichever is later; Project final, or FHWA Final payment	
Retention (In Years): Project final plus 10 or FHWA Final payment plus 3	
Retention End: Destroy or delete	
Contact: Thomas Ravn, Subject Area Steward ← Contact	
Vital Record: Yes	
Place of Storage: Other	
Place of Storage Info: Shared Drive	

Applications



Land Management	Right of Way Electronic Acquisition and Land Management System	REALMS	Production	TOP1300	3VH62
<p>Description: Right-of-Way Electronic Acquisition and Land Management System (REALMS) tracks all facets of property acquisition and land mgmt. Provides true work environment for all workflow functions and steps of property acquisition and land mgmt. CONTAINS FINANCIAL DATA. Federal reporting (GASB-34) of all land assets</p> <p>App Steward: [Redacted] App Coordinator: [Redacted]</p> <p>Data Classification: Confidential or Protected Nonpublic MN.IT Status: Production</p> <p>App Portfolio Manager: [Redacted] SWIFT Name: T793142-Right of Way Elec Land</p> <p>Click Here to view the application's Subject Area relationships <input type="button" value="Full View"/></p>					

Software functions and services implemented together to support one or more related business processes.

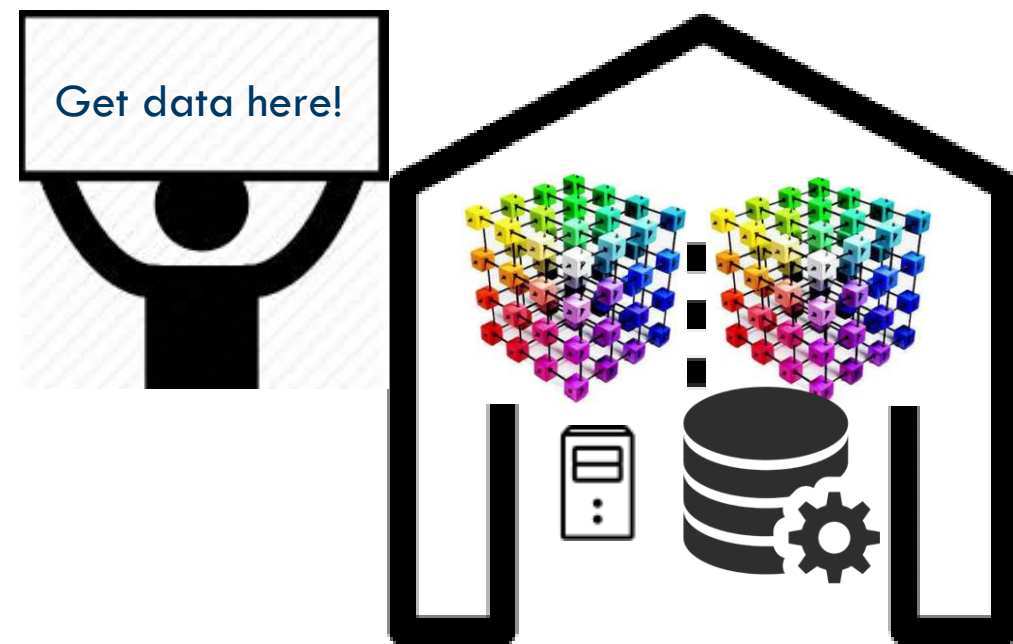


Access to Data

Common Data Environment (CDE)

An online space for sharing data that has been loaded from transactional source systems. **Similar to a Data Warehouse, a CDE is a central store from which users can access data from a variety of sources.**

- Data can be used & re-used
- Data is available *read-only* and use of it will not affect the data in the source (transactional) application
- Data is regularly 'refreshed' with transactional data

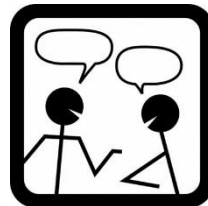


MnDOT's Common Data Environment (CDE) includes WHS1, WHS2, the Spatial Data Warehouse (SDW), & the Oracle TGP server.



Remember

- Information is a valuable asset
- The BDC tells us about MnDOT's information assets
- The BDC has authorized definitions
 - Please: don't make up definitions
- Your input is essential
 - *See something missing?*
 - *See incorrect information?*



Business Application Management (BAM) is your service partner focused on Application Portfolio Management and Application Support

- Your MnDOT District has an Application Portfolio Manager (APM) who partners with you to manage and support applications throughout the application lifecycle (new, enhancements, replacements, retirements)
- Your MnDOT District has Application Support who partners with you when you need small enhancements/upgrades and when incidents (problems) arise



MnDOT Sets Investment and Priorities. MNIT Delivers IT Services.

Contact your MNIT APM early for application service consultation:

- New Applications (procurement, work order, project)
- Enhancement of Applications
- Replacement of Applications
- Preservation (Continuity) of Applications
- Retirement of Applications



MnDOT App Roles

App Stewards

MnDOT Office Director (OD), District Engineer (DE) or assigned authority that provides a single-point-of-accountability for across-the-agency business management of the application. Assigns MnDOT Application Coordinator(s).

- Accountable for investment.
- Accountable for licenses and compliance.
- Accountable for business standards and requirements.

App Coordinators

MnDOT lead subject matter expert (SME) responsible for across-the-agency business management of the application.

- Responsible for investment.
- Responsible for licenses and compliance.
- Responsible for business standards and requirements.
- Responsible for business support and escalation to IT for incidents and change request.

Records Management

- What is a record?
- Records Management for Employees/Managers
- Where (NOT) to Store Records
- “Disposal” is not a dirty word
- Be Careful: Risks and Emergencies
- Remember
- Navigation Demos

What is a record?

- Special classification for MnDOT information:
 - Shows business processes or final decisions (MN Statute [§138.17](#))
 - Can be paper, electronic, physical, data. Format does not matter.
 - Usually an official decision, spend state or federal money, a statutory or rules process.
- Offices/Districts are required to manage records they create by...
 1. Best practices
 2. Law (federal and state)
 3. Practical considerations (Time, money and space)

1. Best Practices

Record

- ✓ An **integral part** of administrative or operational records file
- ✓ Required to sustain **administrative or operational functions**
- ✓ Required to meet **statutory obligations**

NOT

- X Only required for **completion of actions**
- X **Ongoing information** associated with completion of actions (e.g. general correspondence, copies, reference items)

1. Best Practices

Record

- ✓ Construction Plans
- ✓ Letting data
- ✓ Project final
- ✓ Business expense
- ✓ Time Card
- ✓ Contract

NOT

- X Copies (one place to find and store)
- X Reference items
- X Version 6 of 15
- X ~90% of what you do

Any questions?

ROT (Redundant, Obsolete, & Trivial)

1. Identify ROT

- **Clutter**; consumes storage space and costs money to back-up
- Makes it **harder to find** the truly valuable content
- **Slows down** search tools and indexes
- Decreases employee productivity; employees **waste time** wading through “not relevant sludge”



🎯 Your targets: email, personal drive, shared drive folders

👉 Check the [retention schedule](#) if you're not sure whether something is ROT

ROT (Redundant, Obsolete, & Trivial)

2. Treat ROT



2. Legal Requirements

- MnDOT employees must keep “all records necessary” to give the public “a full and accurate knowledge of their official activities” (MN Statute §[15.17](#))
- Records must be kept easily accessible for convenient use (MN Statutes §[13.03](#))
- Records in electronic format are just as good as paper format as long as they are accurate and are accessible for life of the record (MN Statutes § [15.17](#), §[325L.12](#))
- Anyone who improperly destroys a government record may face criminal penalty (MN Statute § [138.225](#))

Practical Considerations

- Keeping ROT costs money, space, and time
- ~10% of information is a record
- Data costs are now charged to Offices/Districts
- Some systems were never designed to hold documents long-term
 - ProjectWise
 - SharePoint



Records Management for All Employees

- Records must be easily found, retrieved, secured, backed up, and readable for the full retention period
- Store in a place where everyone who needs to, can easily access
- Refer to Records Management policy [DM006](#)

Treat records as assets

Records Management for Managers

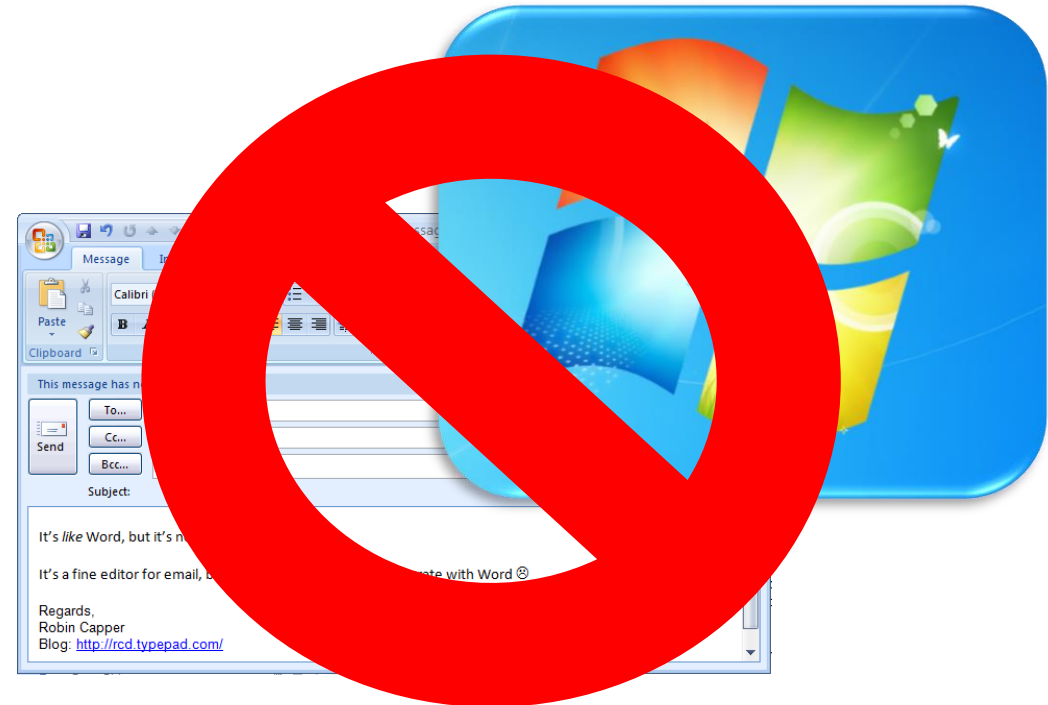
- Know what records are produced by your staff
- Communicate where to store and how to access records
- Ensure staff comply with Records Management policy [DM006](#)
- Prepare for employee turnover
 - When employees leave MnDOT follow the form from HR
 - Accessibility planning – two people can get to and understand the records and information in your office

Where to Store Records

- Put them in the right place
- Call them by the right naming system
- Have the right meta data
- We might be able to take care of the rest

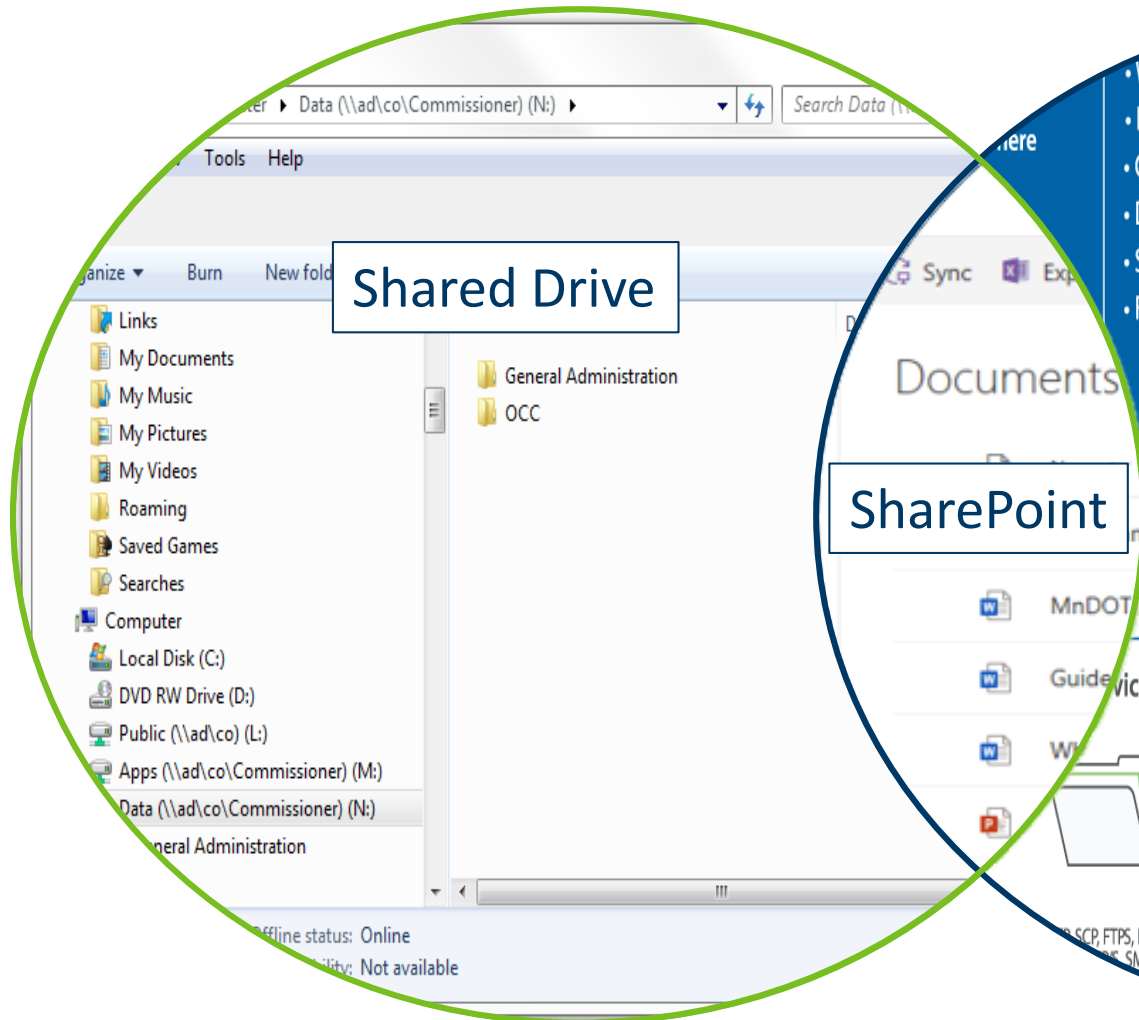
Where NOT to Store Records

- X Desktop – easily destroyed, permanently
- X Personal online – state information, not personal documents
- X Email – limiting time things kept in future

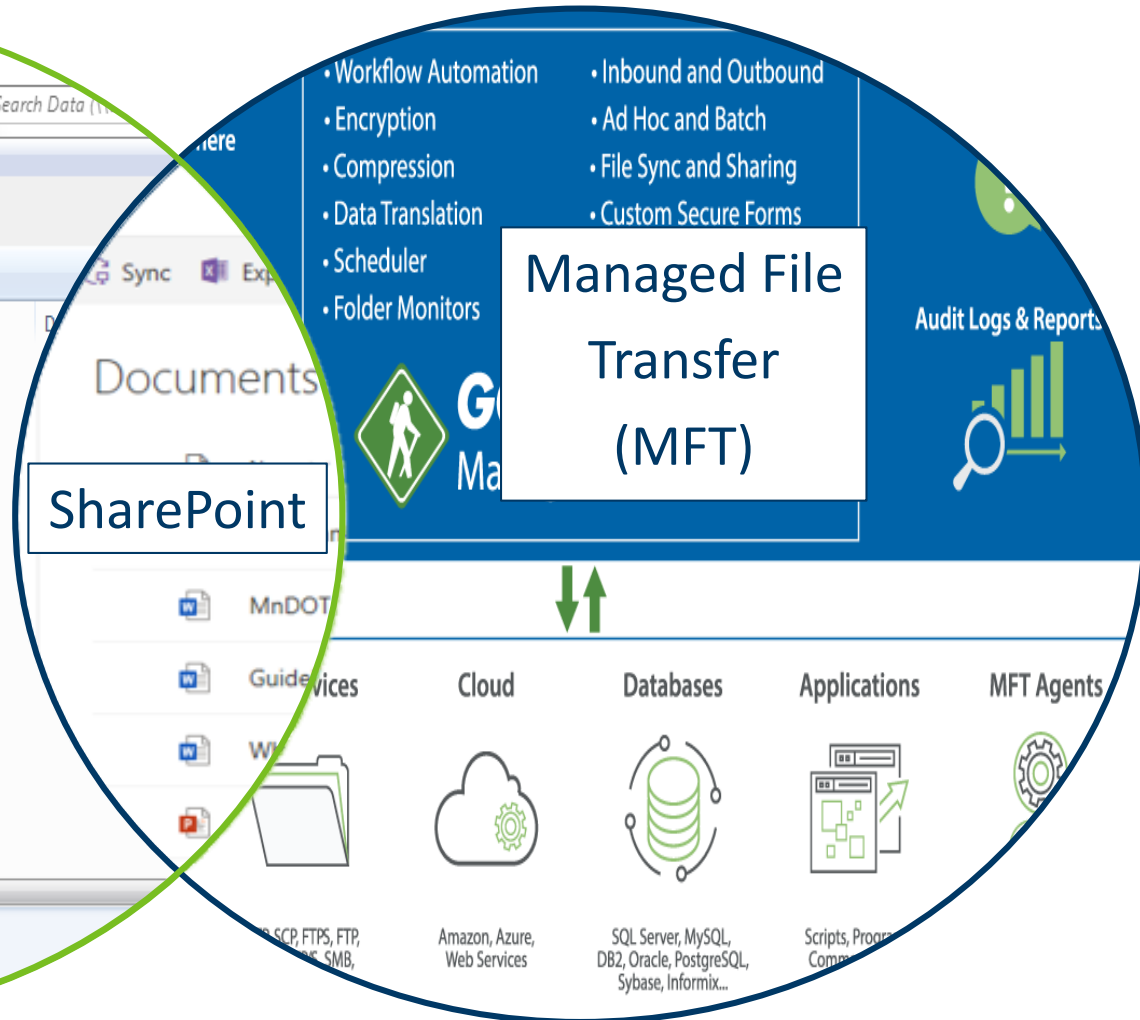


Where to SHARE Records

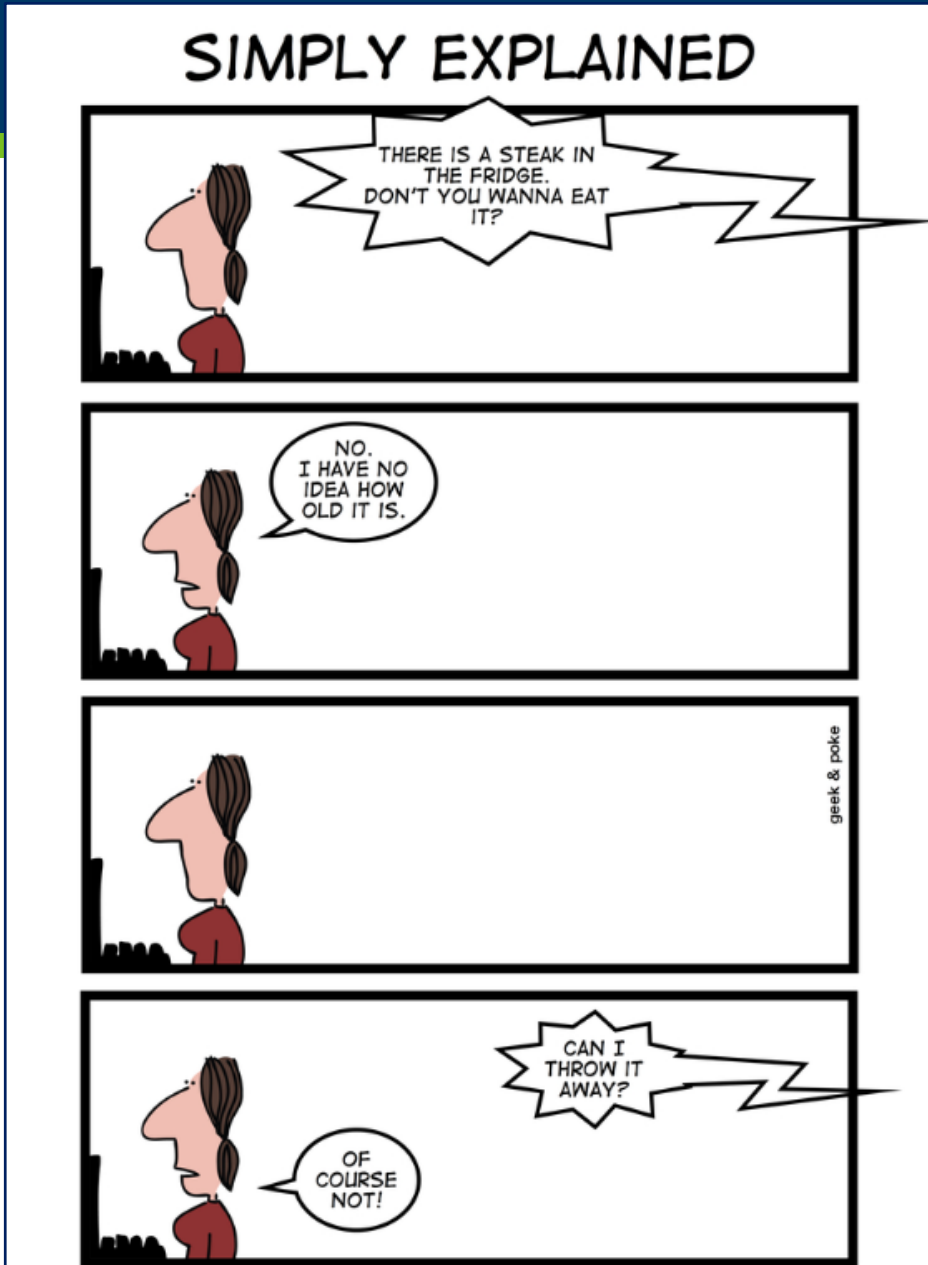
Inside Office or District



Outside MnDOT



“Disposal” is not a dirty word



Issue: For each office there are lots of frozen steak files

No one responsible for the files

Frozen Steaks at MnDOT

- Shared Drive Office X has about X shared drive items an increase of X in May.
- Email (see sheet for #'s) Office X averaged X items per person and it has increased X% in the last year (July to July).
 - Emails at MnDOT are growing at X+% a year (even with our cleanups)
- ProjectWise
 - As an agency it has grown over X% Jan 2016 to Jan 2019.

Fixing the Frozen Steak Problem

1. Records Management training
 - a. Effective use of email
 - b. How to organize your shared drive
2. Twice annual clean up
 - a. May: Shared Drive
 - b. December: Email and ProjectWise
3. Empower someone in your office to get rid of "orphan" files



Proposed shared drive – Ongoing Maintenance

1. Assigned responsibility for folders

- Assigned individual maintains organization of file
- Initial draft list of “responsible individuals” will be circulated
- Admin maintains and updates list of “responsible individuals”

2. Semi-annual de-clutter events

- Every February and August (e-mail reminder sent by Admin)

3. Ongoing monitoring by a workgroup

- 3 Office volunteers serve on N drive workgroup annually (group put together by a staff each January)
- In March and July the workgroup reviews N drive and addresses areas of concern

4. Training new Office staff

- Onboarding materials (staff ensures these are received by all staff)

5. Organizational tasks at off-boarding

- Exiting staff responsible for deleting unnecessary folders and documents, organizing their folders on the N drive, and ensuring relevant staff are aware of the location of important folders
- Supervisor responsible for assuring this is completed

Paper Records Center

- Easy to send and retrieve
- Save space
- Records Management handles annual disposal (currently +2000 boxes)
 1. Notify office/district
 2. Will not destroy unless authorized

Records request form

Use this form to retrieve items from the Records Center. Note: If you're requesting more than 10 items, [download our alternate parcel records request form](#) (Excel) and send to the MnDOT Records Center, MS 270.

Name*

First Name

Last Name

Email*

Mail Stop*

Phone*

What type of records are you requesting?*

Material requested (map numbers, scroll numbers, box numbers, film, files, etc.) and any special instructions. You may request more than one thing in the order.

Submit Request

Disposition

- **MN Statute § 138.17** MnDOT required to keep a list of records destroyed
- Records that are not public data must be destroyed in a way that prevents contents from being determined



Be Careful: Risks and Emergencies

- Cyber Security
 - CDOT shut down more than 2,000 employee computers while security officials investigated ransomware ~2 million dollars
 - Atlanta “city government’s desktops, hard drives and printers flickered back to life for the first time in five days” ~17 million dollars
- What happens in a flood, fire or black out?





The inferno at Rio de Janeiro's National Museum.



Remember

- Managing records is required by:
 1. MnDOT best practices
 2. State and federal law
 3. Practical considerations (keeping everything costs money, space, and time)
- Store records in eDOCS
- Records Management is here to help:
 - Training
 - Twice annual cleanups
 - Resources (Inactive Records Center, etc.)

Navigation Demos

- BDC
 - Address
- Retention schedule
 - Address
- Records center
 - Address
 - Address
- iHUB for data warehouse
 - Address

Questions?

Thank you.