Records Management
Rehabilitation and Recovery

8 Steps to Records Management

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Overview

• Records management is a PROCESS

• There’s a standard for RM - ISO 15489

• A breakdown of steps 1 – 8
You know the rules and requirements records, but do you know WHAT to do and HOW to do it?
Records Management:
A series of processes to manage records as a core business asset from “cradle to grave” .... from start (creation) all the way to the end (disposition)

Also referred to as RIM – Records and Information Management
It’s a process

Imagine you are in charge of managing agency motor pool

- How many and what kind of cars you have? (Inventory)
- Where are they stored? Assigned parking or random? (Space planning)
- Who is driving what car when? For how long? Who needs one? (Reservations and accountability)
- What about maintenance? (You need regularly scheduled oil changes, tune-ups and new tires to keep going)
- Is just anyone allowed access to those cars and take it out for a spin? Is there GPS? (Security and privacy)
- When the time comes for a new car, do the old cars just sit in the garage and take up space? How about rust and corrosion? Do they become obsolete and unusable? (Disposition)

What would happen if you missed one or more of these steps? What kind of chaos/liability would you face?
ISO 15489 How does it help?

- Step by step standardized processes (there’s 8)
- Gives you tasks to do at each step and tells you what to do with information and data you collect at the last step
- It’s repeatable
8 steps to Records
Rehab and Recovery

A. Preliminary investigation
B. Analysis of business activities
C. Requirements for records
D. Assess existing processes/systems
E. Strategies to meet requirements
F. Design/develop records ‘system’
G. Implement records systems
H. Post-implementation review/follow up
Step A: Preliminary Work & Investigation

Get a copy of the workbook or create your own!
There’s a “toolkit” to help you

<table>
<thead>
<tr>
<th>Business Impact</th>
<th>Category or Type</th>
<th>Citation/Rule</th>
<th>Description</th>
<th>Impact</th>
<th>Date Effective</th>
<th>Do We Comply?</th>
</tr>
</thead>
<tbody>
<tr>
<td>HR/Payroll</td>
<td>Payroll records</td>
<td>29 CFR 516.5</td>
<td>Each employer shall preserve for at least 3 years: (a) Payroll records. From the last date of entry, all payroll or other records containing the employee information and data required under any of the applicable sections of this part, and (b) Certificates, agreements, plans, notices, etc. From their last effective date, all written: (1) Collective bargaining agreements relied upon or for the exclusion of certain costs under section 3(m) of the Act, (2) Collective bargaining agreements, under section 7(b)(1) or 7(b)(2) of the Act, and any amendments or additions thereto, restrictions to access/privacy of patient.</td>
<td>Retention Requirement</td>
<td>?</td>
<td>Yes</td>
</tr>
<tr>
<td>HR</td>
<td>Employee record</td>
<td>29 CFR 516.5</td>
<td>Each employer shall preserve for at least 3 years:</td>
<td></td>
<td></td>
<td></td>
</tr>
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</tr>
</tbody>
</table>

There are worksheet templates for each step to customize for your agency

Tool kit template courtesy of Cynthia Jones, Department of Financial Systems
(1) Step A

RECORDS MANAGEMENT REHAB AND RECOVERY
8 STEP PROGRAM:

(1) Step A: PRELIMINARY WORK & INVESTIGATION

(2) Step B: BUSINESS ACTIVITIES & PROCESSES

(3) Step C: IDENTIFYING RECORDS REQUIREMENTS

(4) Step D: ASSESS EXISTING SYSTEMS

(5) Step E: IDENTIFY/P lan STRATEGIES FOR COMPLIANCE

(6) Step F: DESIGN SYSTEM

(8) Step H: POST-IMPLEMENTATION REVIEW/FEEDBACK

(7) Step G: IMPLEMENT SYSTEM

(Source: ISO 15489 framework illustrated: National Archives of Australia and State Records New South Wales)
Goal: Build your core team to identify the resources/knowledge is available – sometimes you don’t know what you don’t know

What to Do:
It’s good to identify as many as possible up front OR if it’s just you, defining what you already know or defining possible gaps in your resource knowledge. You may not need everyone all the time, helps to know when available!
Step A – Build your core team

You may also at times need support folks – Department heads, administrative support and others to help with change management (Social Media and Internal Communications)
Prelim Investigation and Business Case

**Goal:** To collect data to create an executive summary of the business:

- What needs to be fixed
- Why you need to fix
- The risks of not fixing it
- How you plan to fix it
- And create the charter showing that you intend to fix it*

*If you already have executive support, good for you! But if you have just a nod or a ‘sure, just go ahead’, formalizing a summary of the business case for RM is not a bad thing – it’s making that commitment!
## Build your business case

### (1) Step A: Preliminary Investigations, Problem Statements and Business Case

<table>
<thead>
<tr>
<th>Depts/Groups</th>
<th>Business Activity</th>
<th>Dept /Unit Manager</th>
<th>Busy Time</th>
<th>Problem Statements</th>
<th>Risks/Costs</th>
<th>Needs ECM?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accts Payable</td>
<td>Pays invoices</td>
<td>Jack Sprat</td>
<td>June</td>
<td>Needs a way to quickly look up and track invoices and expenses</td>
<td>Unhappy vendors/takes time to answer queries</td>
<td>Maybe</td>
</tr>
<tr>
<td>Accts Receivable</td>
<td>Receives and processes</td>
<td>Miss Muffett</td>
<td>Always</td>
<td>Wants to avoid going to file cabinet to look up and track payments and receipts</td>
<td>Still lots of paper, wasted time, slow processes</td>
<td>Maybe</td>
</tr>
<tr>
<td>Permits</td>
<td>Issues permits</td>
<td>Davy Jones</td>
<td>May - renewal</td>
<td>Permits process is paper based, wants to go &quot;paperless&quot;</td>
<td>Permits slow to be issued/huge backlog</td>
<td>Yes</td>
</tr>
<tr>
<td>Complaints</td>
<td>Receives and investigates complaints from public</td>
<td>Jack Horner</td>
<td>Varies</td>
<td>Wants online complaint forms and manage investigative files that contain evidence such as emails, documents, photos, video footage</td>
<td>Unhappy customers, reputation at risk</td>
<td>Yes</td>
</tr>
</tbody>
</table>

Keep conversations easy at this point!
Things to do

• Identify your core mission activities and your legal and business environment so you can write an executive summary

• Create your **commitment** to the program (charter)
(2) Step B
What kind of shape are you in?

Analysis of business structures, functions, processes and activities
(2) Step B - Business Activities and Processes

Records Management Rehab and Recovery
8 Step Program:

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(3) Step C: Identifying Records Requirements

(4) Step D: Assess Existing Systems

(5) Step E: Identify/Plan Strategies for Compliance

(6) Step F: Design System

(7) Step G: Implement System

(8) Step H: Post-Implementation Review/Feedback

- POUCE
- STANDARDS
- DESIGN
- IMPLEMENTATION

(Source: ISO 15489 framework illustrated: National Archives of Australia and State Records New South Wales)
Goal: To identify and document your organization’s current business functions

Why:
Provides a picture of your current state of being. You’ll find you do a lot more than you realized and it can influence your next steps. This is also a great tool to help you identify good project pilot candidates, and may help generate some excitement and anticipation.
It’s okay not to equal 100%, it’s to get an idea of the **perception** of how much.....reality comes later

### Current assessment of what you do and where you put it

<table>
<thead>
<tr>
<th>Business Analysis - High Level Assessment</th>
<th>Appx % of Most Used Formats</th>
<th>Where is the information stored?</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Business Unit</strong></td>
<td><strong>Electronic Records</strong></td>
<td><strong>Drives and Servers</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Email, Images, Word, Excel, audio, video</strong></td>
<td><strong>Personal or Network</strong></td>
</tr>
<tr>
<td></td>
<td><strong>footage, etc.</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Database</strong></td>
<td><strong>Paper</strong></td>
<td><strong>Database</strong></td>
</tr>
<tr>
<td><strong>Paper Folders</strong></td>
<td><strong>Email</strong></td>
<td><strong>Email</strong></td>
</tr>
<tr>
<td><strong>Devices</strong></td>
<td><strong>Laptop/Phones</strong></td>
<td><strong>Other Systems</strong></td>
</tr>
<tr>
<td><strong>i.e. Share point</strong></td>
<td><strong>Cloud Storage</strong></td>
<td><strong>Cloud Storage</strong></td>
</tr>
<tr>
<td><strong>Business Unit</strong></td>
<td><strong>What they do</strong></td>
<td><strong>What type of records created, used, or received</strong></td>
</tr>
<tr>
<td></td>
<td><strong>How many people</strong></td>
<td><strong>Appx %</strong></td>
</tr>
<tr>
<td><strong>Pay invoices and bills</strong></td>
<td><strong>Database</strong></td>
<td><strong>Personal or Network</strong></td>
</tr>
<tr>
<td><strong>Create invoices and bills</strong></td>
<td><strong>Paper</strong></td>
<td><strong>Other Systems</strong></td>
</tr>
<tr>
<td><strong>Accts payable</strong></td>
<td><strong>Invoices, vouchers, checks, queries</strong></td>
<td><strong>Cloud Storage</strong></td>
</tr>
<tr>
<td><strong>Accts receivable</strong></td>
<td><strong>Invoices, billable hours and services</strong></td>
<td><strong>Email</strong></td>
</tr>
</tbody>
</table>

- 2 people
- 75%
- 25%
- 10%

- **X**
- **X**
- **X**
- **X**
- **X**
- ?
- **X**
- ?

It’s okay to have a question mark and get details later on
Start making “wish lists”

- You can start to create a “wish list” for “improvement opportunities”

### Improvement Opportunities

<table>
<thead>
<tr>
<th>Department</th>
<th>Type</th>
<th>Improvement Title</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Permits</td>
<td>Automation</td>
<td>Automate request process</td>
<td>Would like an online form for submitting Users want to take photos from the field and upload them while at the site</td>
</tr>
<tr>
<td>Complaints</td>
<td>Mobility</td>
<td>Upload photos from the field</td>
<td></td>
</tr>
<tr>
<td>Complaints</td>
<td>Mobility</td>
<td>Look up data from the office when in the field</td>
<td>Staff want to be able to look up previous violations from the field, not in the office</td>
</tr>
</tbody>
</table>
Some mile markers for Step 2

• Actual documentation of agency business and processes
• Beginnings of a business classification scheme – outlines of functions, activities and transactions
• Mapping of business processes
• Basis for the development of RM tools
  – Terms for controlled vocabularies/naming conventions for filing/indexing
  – Retention requirements and disposition actions
(3) Step C – Records Requirements

Race Rules

- Bib Pickup
- Refund Policy
- Bib Number Req’s
- Timing Req’s
- Safety on the Course
- Full Marathon Course Time Limit
- Baggage Claim
- Entry Restrictions
(3) Step C – Identifying Records Requirements

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- POLICIES
- STANDARDS
- DESIGN
- IMPLEMENTATION

(Source: ISO 15489 framework illustrated: National Archives of Australia and State Records New South Wales)
Goal: To identify and document the records related laws and rules OUTSIDE of public records rules (other RCW’s, WAC’s, CRF, Municipal Codes, etc) and compile a list of agency requirements

Why:
So you know where you are up-to-date and where you are not. Don’t be surprised to see new rules that have been missed, current rules that are not being followed or old rules that are no longer applicable (but are still being followed).

Here’s where you start to identify your retention rules too. The goal is to see how what regulations you have and start planning some clean-up projects
Step C Policies are part of the process

- Also helps to determine if any policies need to be revised and here’s where retention requirements start to be fleshed out

- Builds the “story of you” and your “rule book” that you can create yourself without hiring a consultant that you can then pass on to subsequent staff or IF/WHEN the time comes for outside consultation
These are your rules and requirements

<table>
<thead>
<tr>
<th>Business Effected</th>
<th>Category or Type</th>
<th>Citation/Rule</th>
<th>Description</th>
<th>Impact</th>
<th>Date Effective</th>
<th>Do We Comply?</th>
<th>Frequent Records Requests?</th>
<th>Candidate for Open Data?</th>
<th>NOTES</th>
</tr>
</thead>
<tbody>
<tr>
<td>HR/Payroll</td>
<td></td>
<td></td>
<td>Each employer shall preserve for at least 3 years: (a) Payroll records. From the last date of entry, all payroll or other records containing the employee information and data required under any of the applicable sections of this part, and</td>
<td>Retention Requirement</td>
<td>Yes</td>
<td>No</td>
<td>NO</td>
<td></td>
<td></td>
</tr>
<tr>
<td>HR</td>
<td>Employee Medical Records</td>
<td>29CFR 516.5 - Records to be kept by employer</td>
<td>Each employer shall preserve for at least 3 years: (b) Certificates, agreements, plans, notices, etc. From their last effective date, all written: (1) Collective bargaining agreements relied upon for the exclusion of certain costs under section 3(m) of the Act, (2) Collective bargaining agreements, under section 7(b)(1) or 7(b)(2) of the Act, and any amendments or additions thereto, ........</td>
<td>Retention Requirement</td>
<td>?</td>
<td>Only when contract negotiations open</td>
<td>Depends</td>
<td></td>
<td></td>
</tr>
<tr>
<td>HR</td>
<td>Student name, address, grades, etc.</td>
<td>HIPAA</td>
<td>Restrictions to access information</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accounts Receivable</td>
<td>Electronic payments sensitive data</td>
<td>Sensitive Authentication Data (SAD) related to payment cards obtained during electronic financial transactions</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Toxic Clean Up</td>
<td>Environmental and property records</td>
<td>MTCA</td>
<td>EPA Rules and Requirements</td>
<td>Minimal</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Remember, it’s okay to have question marks and get details later on

Citing actual rules on WHY you are required to do certain things, not ‘just because” or “just in case”
## Retention Requirements

<table>
<thead>
<tr>
<th>Business Unit</th>
<th>Schedule and Version</th>
<th>Revision</th>
<th>Function/Section</th>
<th>Group/Category</th>
<th>Function/Activity</th>
<th>Title of Record Series</th>
<th>Description of Records</th>
</tr>
</thead>
<tbody>
<tr>
<td>Executive</td>
<td>SGGRS v. 6.0 (June 2016)</td>
<td>GS 19001</td>
<td>1</td>
<td>Agency Management</td>
<td>Legislative Files</td>
<td>Legislation - Development and Analysis</td>
<td>Records relating to the development of agency request legislation and analysis of the impact on the agency of any legislation (federal or state). Includes, but is not limited to: • Bill drafts; • Fiscal notes; • Bill analysis reports; • Related correspondence/communications. Excludes records covered by: • Legislation/Regulations/Rules – Monitoring/Tracking (DAN GS 19002); • Reporting to External Agencies (Mandatory) (DAN GS 19004).</td>
</tr>
<tr>
<td>Minimum Retention in Years</td>
<td>Access Controls</td>
<td>Cut-Off or Trigger Field 1</td>
<td>Cut-Off or Trigger Field 2</td>
<td>Cut-Off or Trigger Field 3</td>
<td>Archival?</td>
<td>Essential?</td>
<td>Disposition Action</td>
</tr>
<tr>
<td>---------------------------</td>
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<td>---------------------------</td>
<td>---------------------------</td>
<td>-----------</td>
<td>-----------</td>
<td>-------------------</td>
</tr>
<tr>
<td>6</td>
<td>Open, no restrictions</td>
<td>After end of legislative session</td>
<td></td>
<td></td>
<td>Yes - Appraisal Required</td>
<td>Non Essential</td>
<td>Transfer to Archives</td>
</tr>
</tbody>
</table>
Step 3 – Mile Markers

- List of business regulatory and retention requirements relevant to agency
- Do a risk assessment based on requirements and current levels of compliance
- Can formalize document for upper management and staff listing the requirements to keep records
  - Specific policies based on approved retention schedules
(4) Step D Assess Current Systems (Halfway there!)

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6. Step F: DESIGN SYSTEM
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8. Step H: POST-IMPLEMENTATION REVIEW/FEEDBACK

Halfway there!

(Source: ISO 15489 framework illustrated: National Archives of Australia and State Records New South Wales)
Step D – Existing Systems

**GOAL:** It’s important for agencies to do an assessment and examination of their current systems/tools. Informal or formal, most agencies have been doing something to track and maintain records.

**WHY:** This will provide an inventory and assess current systems (manual or otherwise) currently existing and being used (or not, maybe legacy systems are lingering?)
Hidden gems

You may also be pleasantly surprised that an existing system may be underutilized or has additional features and has the capability or features to do more...you just didn’t know it!
# Step D Systems Assessment

<table>
<thead>
<tr>
<th>System Name</th>
<th>What it Does</th>
<th>Which Depts Use it</th>
<th>Meeting Business Needs?</th>
<th># of Users</th>
<th>Level of Use</th>
<th>System Type</th>
<th>Database Type</th>
<th>Support Needs</th>
<th>Version You're On</th>
<th>Current Version Available</th>
<th>Plan to Upgrade?</th>
<th>Is this Redundant?</th>
</tr>
</thead>
<tbody>
<tr>
<td>XYZ Payments</td>
<td>Process Payments</td>
<td>Accounts Payable</td>
<td>Yes</td>
<td>50</td>
<td>High</td>
<td>Custom Dev</td>
<td>SQL</td>
<td>Medium</td>
<td>3.1</td>
<td>3.1</td>
<td>No</td>
<td>Possibly</td>
</tr>
<tr>
<td>Homegrown Accts</td>
<td>Customer Accounts</td>
<td>Accounts Receivable</td>
<td>Sort of 2</td>
<td>2</td>
<td>Low</td>
<td>Custom Dev</td>
<td>Access</td>
<td>High</td>
<td>1.2</td>
<td>No</td>
<td>Can't</td>
<td></td>
</tr>
<tr>
<td>Homegrown Permitt</td>
<td>Who knows?</td>
<td>Used to be permits</td>
<td>Nope</td>
<td>0</td>
<td>Nonexistent</td>
<td>Custom Dev</td>
<td>Access</td>
<td>High</td>
<td>1.1</td>
<td>No</td>
<td>Can't</td>
<td>Yes</td>
</tr>
<tr>
<td>(i) Drive</td>
<td>Stores documents</td>
<td>Entire business unit</td>
<td>Sort of 75</td>
<td>75</td>
<td>High</td>
<td>Custom Dev</td>
<td>Drive/Network</td>
<td>High</td>
<td>maintenance</td>
<td>No</td>
<td>Can't</td>
<td></td>
</tr>
</tbody>
</table>

What kind of systems do you have? What functions do these tools provide? Are the tools meeting the needs of the users? What version? Any redundant systems? What kind of support needs from IT/IS? Anything on life support?
Step 4 – Halfway Outcomes

- An inventory of agency’s existing business systems and levels of use
- Assessment report of systems and the extent to which they meet or do not meet agency’s regulatory/business requirements
- Priority lists for upgrades/replacing/fixes
- Identify any “easy” fixes
Decisions made in IT have had a direct impact on public records and helps us create epic levels of volume – it’s too much!

Remain positive and patient, remember it’s a process (Yes, it’s like a marathon)

Do not expect overnight changes

Again, it’s been a couple of decades since technology and business got married

Like any other relationship benefits from periodic “checking in” and open communication to make sure things are ok
(5) Step E - Strategies for Compliance

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- POLICIES
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- DESIGN
- IMPLEMENTATION

(6) Step F: DESIGN SYSTEM

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(8) Step H: POST-IMPLEMENTATION REVIEW/FEEDBACK

Primary

Feedback

(Source: ISO 15489 framework illustrated: National Archives of Australia and State Records New South Wales)
Goal for Step 5
Making Good Choices

Determining the most appropriate things to change/transform processes:

- Policies
- Procedures
- Standards
- Tools
## Step 5 Strategies for Compliance

### (5) Identify Strategies for Compliance and Implementation

<table>
<thead>
<tr>
<th>Area</th>
<th>Strategy</th>
<th>Description</th>
<th>Status</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Policy</td>
<td>Update outdated or conflicting records management related policies</td>
<td>Policies surrounding training need to be updated</td>
<td>In Process</td>
<td>Policy is reviewing this request.</td>
</tr>
<tr>
<td>Records</td>
<td>Update outdated or conflicting records retention schedules</td>
<td>Revise Retention Schedule for Accounting Department</td>
<td>In Review</td>
<td></td>
</tr>
<tr>
<td>Business Processes</td>
<td>Target manual processes that can be automated or streamlined with the ECM system</td>
<td>Incident tracking is currently a manual process. Add in e-forms and automated workflow to improve processes.</td>
<td>New</td>
<td></td>
</tr>
<tr>
<td>IT Security</td>
<td>Review and Update Security Strategy</td>
<td>Our current security strategy is 5 years old. We need to collect information on the current standards and see what we need to do to align our own standards with them.</td>
<td>New</td>
<td></td>
</tr>
<tr>
<td>Business Processes</td>
<td>Identify Potential Pilot Departments</td>
<td>Which groups are good potential pilots? What makes them a good candidate?</td>
<td>In Review</td>
<td></td>
</tr>
<tr>
<td>Business Processes</td>
<td>Business process automation - license renewals</td>
<td>We’d like to receive all license renewals from online forms that kick off an automated workflow.</td>
<td>In Review</td>
<td>Will move to the Design Requirements</td>
</tr>
<tr>
<td>Clean up Share Drive</td>
<td>File Share Cleanup</td>
<td>Need to purchase cleanup tool to help us address ROT on the file share and add metadata for files that will migrate to the new ECM</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Suggested “To Do” Lists

- Policy updates
- Retention Schedules
- Clean Up File Shares
- Document Types/Classifications
- Business Process Changes
- Upgrading software and hardware
- Clean Up Email
- Clean Up File Shares
- Imaging or “Scanning and Tossing” Plan
- Migration strategies/planning
- Education/Training Program
Can’t hide anymore

Biggest Elephants in the Room

30 years of generating information

- Shared Drives/Network Drives
- Email
- SharePoint
- Databases

Ignoring it doesn’t solve anything and just compounds the issues
The “to-do” that nobody wants to do

You will have to be doing a “clean-up” as part of the RM implementation process

• Don’t just move the mess!
• And automating a mess just gets you a bigger mess faster
Cleaning up

• Online video available for “Digital Hoarding”
• Templates for disposition
• Step by step “how – to”

https://www.youtube.com/watch?v=XY5x0mcIBWU&feature=youtu.be
Step 5 – Some outcomes

• Lists of strategies
• Choices of strategies
• Adoption on new policies/procedures
• Development of standards/conventions
• Models for mapping strategies to requirements
• Reports and recommendations to senior management for next steps
When it’s an uphill battle

Yay! It’s important to celebrate each milestone towards your goal.

Don’t think of them as hills; think of them as ‘mounds of opportunity.’

You can do this!
(6) Step F – Design System

RECORDS MANAGEMENT REHAB AND RECOVERY
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- POLICIES
- STANDARDS
- DESIGN
- IMPLEMENTATION

Primary
Feedback

(Source: ISO 15489 framework illustrated: National Archives of Australia and State Records New South Wales)
Step F

Design & Requirements For Program and/or System
(Whether you buy one or not)
Step F

Goal: To turn the strategies from step E into a blueprint for putting together (or redeveloping) your systems to transform or align as “records” systems

(Again, it doesn’t have to be buying an ECM, you can develop a “system” for now while planning for a different future)

WHY: This is where you begin your “build” as in designing/configuring your system
### Step 6 – Design “System”

<table>
<thead>
<tr>
<th>Process</th>
<th>Details to collect</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accounts Payable</td>
<td>How and where does the process start, what triggers? Something submitted?</td>
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<tr>
<td></td>
<td>What metadata (identifiers) do we want to capture?</td>
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<tr>
<td></td>
<td>What types of records/information need to be managed?</td>
<td></td>
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<tr>
<td></td>
<td>How to handle access? Who gets to share, where should it be stored? Any restrictions?</td>
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<tr>
<td></td>
<td>Does it need to integrate with other systems? (how many involved?) Email? Other “systems”? Which ones? How should it do this?</td>
<td></td>
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<tr>
<td>Logical System</td>
<td>Forms and templates (collection and presentation of information, both for paper based and digital)</td>
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<tr>
<td>Logical System</td>
<td>Develop workflow</td>
<td></td>
</tr>
<tr>
<td>Logical System</td>
<td>Image capture and retention (part of scanning and tossing)</td>
<td></td>
</tr>
<tr>
<td>Logical System</td>
<td>Databases and information structure</td>
<td></td>
</tr>
<tr>
<td>Physical System</td>
<td>Overall system structure (files, drawers, boxes, servers?)</td>
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<tr>
<td>Physical System</td>
<td>System integration (how are you going to connect the dots?)</td>
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<tr>
<td>Testing</td>
<td>Does it do what it is required to do? (System functionality)</td>
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<tr>
<td>Testing</td>
<td>How well do the different components work together? (System integration)</td>
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<tr>
<td>Testing</td>
<td>Are the folders, drives, menus, forms and templates understandable and usable? (User interfaces)</td>
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<tr>
<td>Testing</td>
<td>Can I put in records or information that I’m supposed to the way I am supposed to? (Validation of inputs and outputs)</td>
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<tr>
<td>Testing</td>
<td>Is it fast? Do I have to go get a cup of coffee while I wait for the screen to come up? (System responses and recovery time)</td>
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<tr>
<td>Migration</td>
<td>Migration: Moving data/records/information from one place to another</td>
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</tr>
<tr>
<td>Migration</td>
<td>Conversion: changing data/records/information from one format to another (Scanning and tossing)</td>
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</tbody>
</table>
Same process whether you buy a system or not

- Look back over your gathered information. Use the information and everyone’s knowledge to draft the components needed to:
  - Support the business processes,
  - Meet the records keeping requirements
  - Fix the issues identified in the assessments
  - Comply with all the requirements of everyone on the team
- Go buy more donuts and chocolate
If you can’t buy a system

- Here’s where you can “build” a manual/hybrid system:
  - Manual and digital processes combine to “connect the dots” aligning paper (file drawers) and share drives or other repositories
  - Take advantage of “scanning and tossing”
  - Identify steps where to perform hybrid processes using existing systems
  - Define procedures/workflow
  - Build/identify your “records system”
    - Shared drive?
    - Database?
    - File cabinets?  AND LOTS MORE!!
Step 6 – Some outcomes

• How to incorporate changes to improve RM across agency

• Lots more at this stage:
  – Design project plans
  – Reports of periodic design reviews
  – Documentation and signing off of changes to requirements
  – Design descriptions and system business rules
  – System specifications and technical details
  – Diagramming and modeling of changes/new system
  – File plans
  – Integration plans
  – Training and testing plans
  – Implementation plan
Step at a time

• Yay! You’re almost there!
(7) Step G – Implement System

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(Source: ISO 15489 framework illustrated: National Archives of Australia and State Records New South Wales)
(7) Step G

Rolling Out The “System” (Implementation)

**FIRST**: This is best done incrementally – please pick a small business unit or department. It lets you practice and get your processes ironed out.
Goal: To get the new system(s) in place and helping improve your step by step processes

What to Do:
Time to get really dirty/sweaty and get new or improved tools/processes out to users. This step follows traditional project roll outs (as in phases) so fall back on the project management tools utilized by your organization.

BTW: IF PURCHASING AN ECM this will likely be driven by the ECM vendor company
Step (7) G Follow your plan – project management

(7) Implementation and Roll-out Plan

Insert your project plan - datelines, roles, deliverables
As you keep rolling along

Keep up with your sub-projects/parallel projects identified in previous steps

Getting the cleanup work done so project milestones can align and roll out smoothly – check those lists created previously

Some of these will take a while to do. Start early on as many of them as possible so they can be completed on a similar timeline as your roll out date.
Step 7 Some outcomes (Almost done!)

- Detailed implementation plan
- Documented policies, procedures and standards
- Training materials
- Documenting of any conversion processes and ongoing migration procedures
- Performance and progress reports
- Reports to management
(8) Step H – Post Implementation Review

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YAY! You did it!

(Source: ISO 15489 framework illustrated: National Archives of Australia and State Records New South Wales)
Goal: To measure the effectiveness of the new/different systems and processes, to establish a monitoring and “okay, we can fix this” process

Why: To put out any fires or smoldering embers and develop a monitoring/fixing it actions process for continuous improvements
Last one! (8) Step H Also known as a “post-mortem”

Records Management Program (8) Step H Post Implementation

<table>
<thead>
<tr>
<th>Department</th>
<th>Work Group</th>
<th>Item that needs improvement</th>
<th>Change that would support improvement</th>
<th>Status</th>
<th>Notes</th>
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</table>

Feedback and follow up in critical areas ensure successful implementation and ongoing compliance and use
Last step - #8 Some Outcomes

• Methods to objectively assess systems
• Documented performance and developmental processes
• Reports on findings/recommendations
• Possibly a chocolate addiction
This is a repeatable process – apply it bits at a time

- This takes time, be patient with yourself and others. You can’t do it all at once, and you shouldn’t try to

- Expect the unexpected, don’t let a hamstring pull stop you

- You’ll get there, just keep taking small steps. Change is hard!

- It’s ok that others don’t understand. We all have to start somewhere!

- And it’s worth it!!
You are not alone!

Questions?
recordsmanagement@sos.wa.gov

Thank you!

Washington State Archives
Partners in preservation and access