

Burning Questions and Smoldering Embers Records Management 2.0



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Overview of Today's Session

- RM - Embers Still Smoldering
- Digitizing Paper Records (“Scan and Toss”)
 - Introducing “Enterprise Content Management” (ECM)
 - Steps up the ladder to implement records management and/or ECM

What is a public record again?

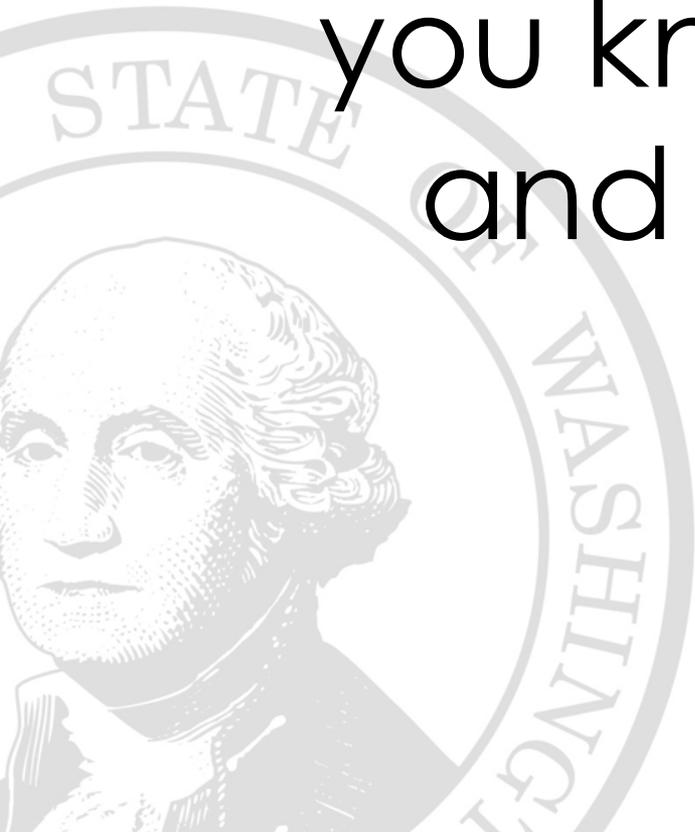
Definition and classification of public records

“Public records shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map, drawing, machine-readable material....

regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business” **RCW 40.14.010**

Embers still smouldering

You know the rules, but do
you know **WHAT** to do
and **HOW** to do it?

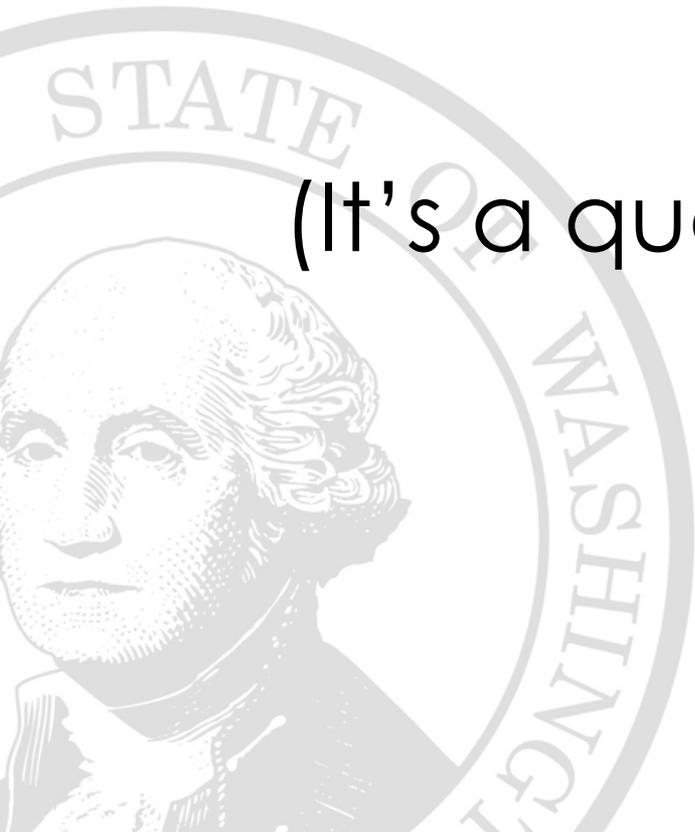


Burning Question #1

So do I have to keep all my paper?

NO!!

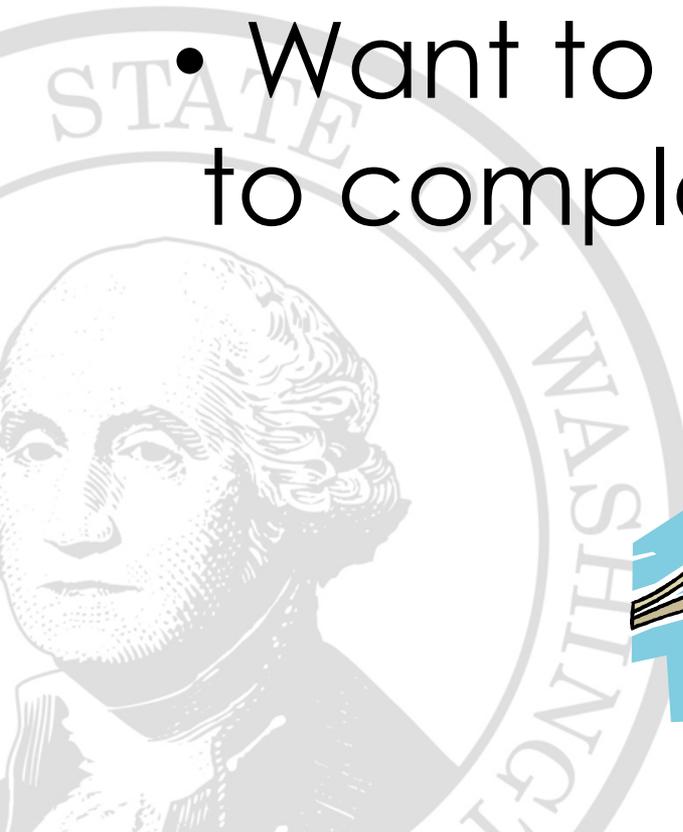
(It's a qualified NO though...)



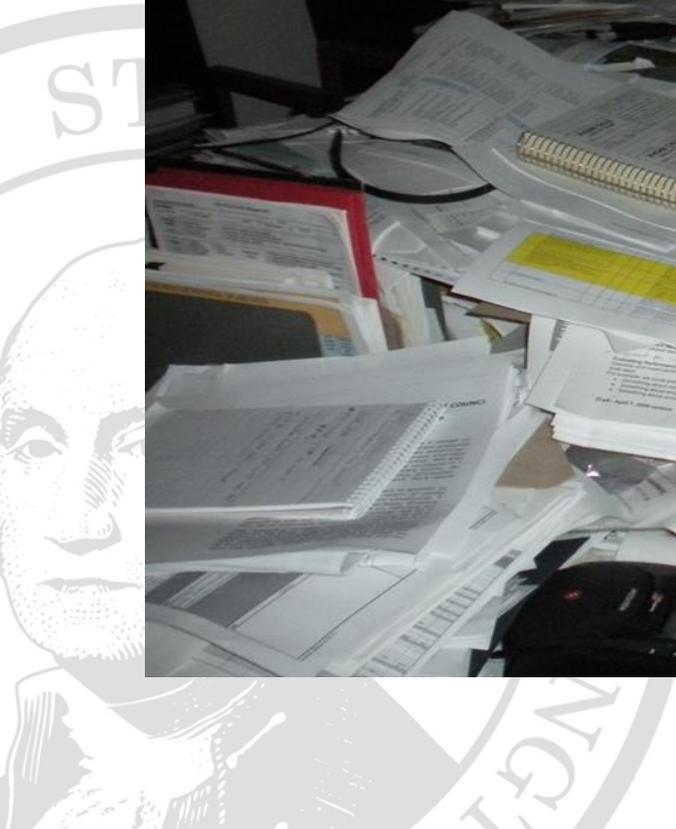
Bridging the gap

Scanning and tossing

- Still have a lot of paper!
- Want to transition from hybrid to completely digital processes



There's still a lot of paper



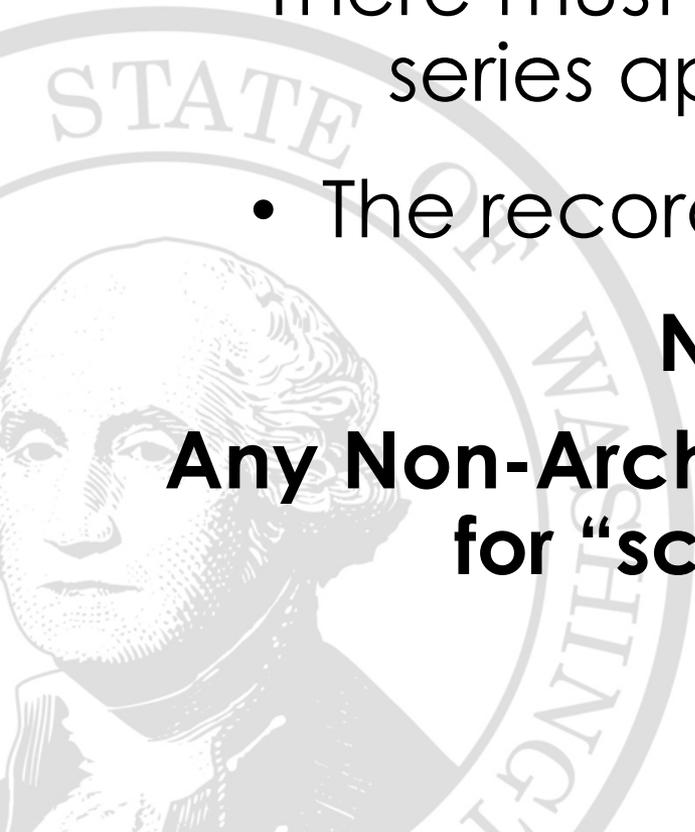
What you need to know first

Paper-based source records must be ***eligible for destruction***

- There must be an appropriate records series approved for agency use
 - The records must be designated as

NON-ARCHIVAL

Any Non-Archival record series is eligible for “scanning and tossing”



Archival Records are NOT to be destroyed!

The archivists will do an appraisal to determine if they want either one or the other or both to be included as part of the Archives collections for preservation.

For certain records, there is an intrinsic archival value to the paper it is on with a signature or seals affixed. For other archival records the value is in *the information* itself, not piece of paper it is captured on what it is contained within (i.e. database)



Resolution and Format Requirements

- Ensure **complete capture** of the source record.
- Resolution – depends on nature of record.
300 DPI meets or exceeds all requirements.
- Records with retention periods of **6 years or fewer** can be scanned into **lossy or lossless** formats including .TIF, .PDF, .PDF/A, .JPEG.
- Records with retention periods that are **longer than 6 years must** be scanned into **lossless** formats such as .TIF or .PNG

Pause for a commercial break: Metadata

Good metadata is critical as part of a digital strategy to organize and search agency records in a consistent way that will stand up to time and turnover

- Metadata is descriptive information used to identify digital information
(documents, photos, audio files and used to build databases)
- Call it what you want:
 - Indexing (for scanning and more)
 - Naming conventions
 - Vocabularies



There's a process

Starts with gathering of accurate and complete intelligence, analyzing and establishing the most common sets of fields and data to build consistent and cohesive metadata

- Ask “20 questions”
- Can use excel spreadsheet* as a gathering tool

(* think of it as a “flat file” version of a database)

Ask away!

- Ask business users
 - How do they ID their records?
 - Ad hoc, left to own devices and personal preferences?
 - ANY kind of common words/terms consistently used?
 - What is their process? Walk through “a day in the life” of what they do and the records created, received and used
 - Any crossover with another business unit?
 - Agency speak? Acronyms?
 - How do they find their stuff afterwards? How would other people ? (include records requesters)
 - Key words/terms used to search?



Access and Retrieval

Develop appropriate business and recordkeeping metadata in order to identify, access and manage in the future

Recommend at least 5 – 7 fields
(Humans all think differently!)

Commonly used metadata:

Date (when?)

Agency/Entity (who it is?)

Document type (what is this?)

AND other identifiers so that you can locate it again
(and again and again and again years from now!)

Basic Example

State Records Committee "SRC" Audio Recordings Index

FileName	Duration	Description	Source	Date	Time	Notes
SRCAUD20071205	2:52:19		State Records Committee	2007/12/05		
SRCAUD20080108	1:58:23		State Records Committee	2008/01/08		
SRCAUD20080206	2:27:49		State Records Committee	2008/02/06		
SRCAUD20080507	1:04:34		State Records Committee	2008/05/07		
SRCAUD20080806	2:57:15		State Records Committee	2008/08/06		
SRCAUD20080903	2:02:49		State Records Committee	2008/09/03		
SRCAUD20081001	1:25:36		State Records Committee	2008/10/01		
SRCAUD20081203	3:28:16		State Records Committee	2008/12/03		

Metadata used:

File Name:

WHO (State Records Committee - SRC)

WHAT (Audio – AUD)

DATE (YYYYMonthDay)

Duration of recording:

TIME in hours, minutes, seconds

Source:

WHERE (State Records Committee Meeting)

DATE (Date of Meeting)

Other fields are OPTIONS to use if so desired

Another Example

Minutes, Ordinances and Resolutions – Scanned Images

Unique Reference Identifier	Image File Name	Agency	Department/Division/Committee	Document Date	Document Type	Party Type
12345678	SpokaneCoCommMin19590126	Spokane County	Board of Commissioners	19590126	Minutes	

Metadata used:

Unique Reference Identifier:

Number assigned to scanned image

Image File Name:

NAME of document (WHAT is this?)

(Spokane County Commissioner

Minutes from Jan 26 1959)

Agency:

WHO is the agency/entity?

(Spokane County)

Department/Division/Committee

WHICH Committee?

(Board of Commissioners)

DATE (Date of Meeting)

Document Type:

MINTUES (Meeting Minutes)

Back to scanning and tossing:
Predicting the future

**Planning for future access requires
making choices based on stability
and longevity**

Remember when?

Cassette tapes

8 track tapes

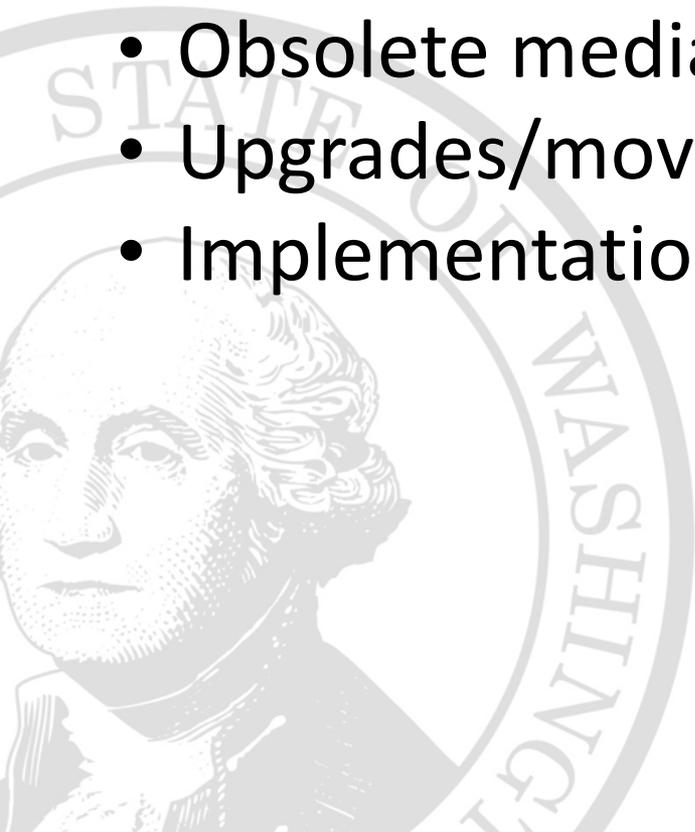
CD's



Another brief interruption Migration Happens

The reality is when technology is used some kind of migration is bound to happen:

- Obsolete media (remember 8 track players?)
- Upgrades/moving data
- Implementation of systems



Check, check, check

- To ensure appropriate capture of the data plan, plan, plan and map, map, map
- Make sure everything lines up, and that *everything* is accounted for
- Check, check, and check again!



Disposition and Destruction

Images are subject to the same rules for records management, public records requests and litigation holds

Do not destroy images if an open records request or litigation hold is in place

Make sure images are destroyed at the end of their required retention periods in accordance with approved records retention schedules (WAC 434-663-615)

“Scanning and Tossing” Standards and more information

State Archives » Records Management

Scanning and Tossing

Agencies wishing to "scan and toss" paper based records after they have been imaged or scanned may do so only if done in accordance to the requirements and standards set forth by Washington State Archives and WAC Chapter 434-663 [Electronic Imaging Systems - Standards for Accuracy and Durability](#)

Scanning paper based records can be a very useful process to help bridge the gap between paper based processes and creating a digital image to link and work together with other electronic records in a hybrid environment.

- [What are the requirements for destroying paper based records after scanning?](#)
- [Are there any webinars or other online training available?](#)
- [Do I need permission before I can scan and toss paper based records?](#)
- [What about imaging Archival paper based records?](#)
- [What about certifying my imaging system?](#)



<http://www.sos.wa.gov/archives/RecordsManagement/scanning-and-tossing-records.aspx>

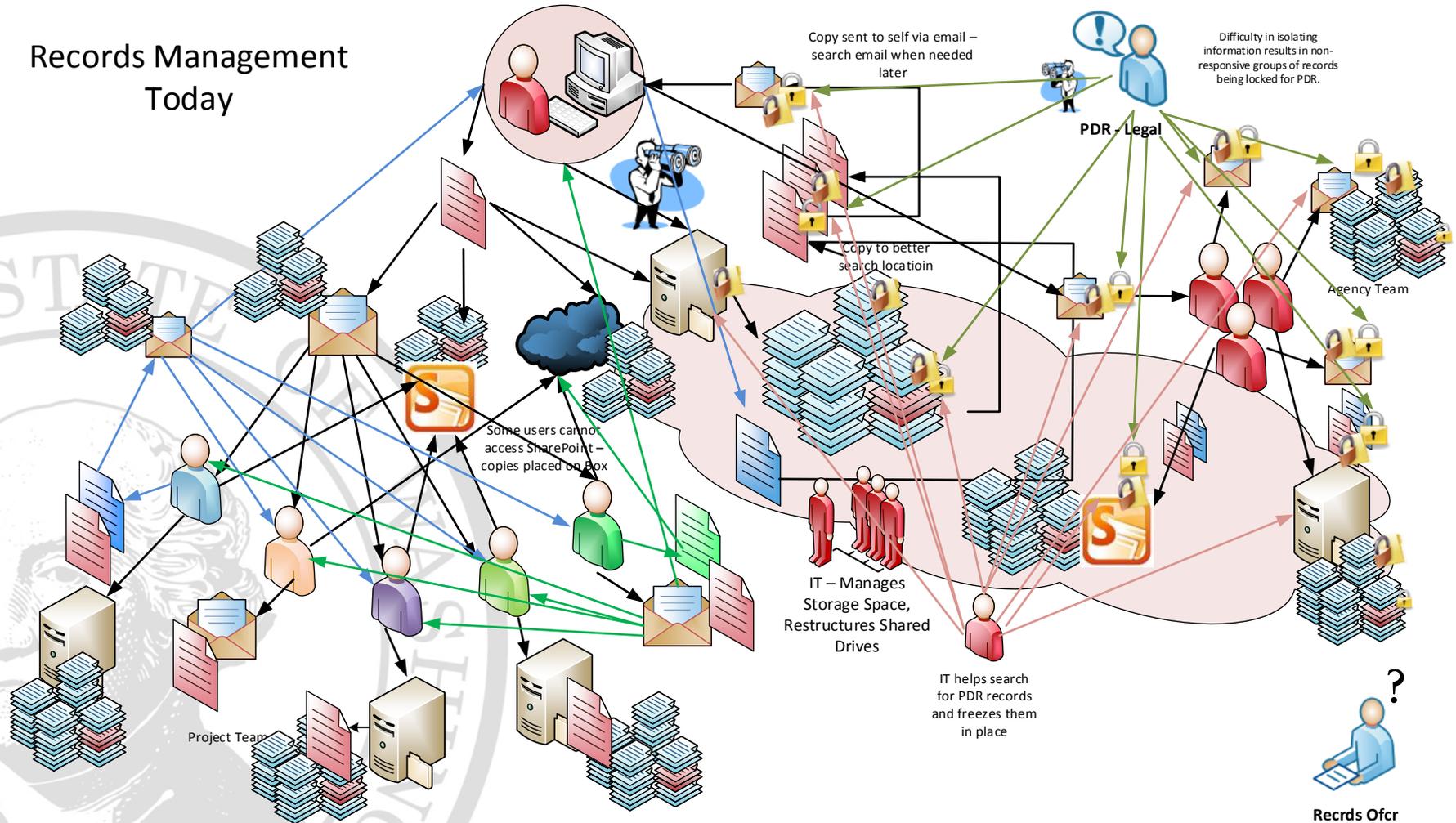
Is your hair on fire yet?

“Scanning and tossing” is just one part of an overall strategy for managing electronic records

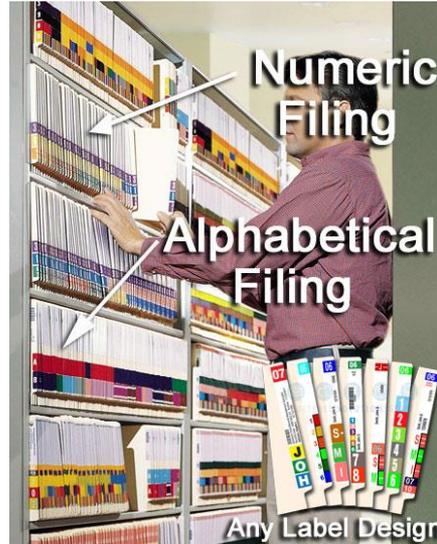


Electronic Records Management - TODAY

Records Management Today



Filing structures and systems



We've been using "systems" to organize paper for hundreds of years because it works!

Why This Method Worked

- Everyone followed the same process
- Things were identified in a way that was logical and appropriate to the business process
- Key individuals were stewards of the information, were the “enforcers” of standards and resolved filing issues as they arose
- Managing records were part of the act of doing business

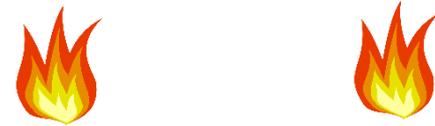


Current State of Tools

- Tend to buy tools to address symptoms, not the underlying problem



- Staff must learn many different tools or access many systems to do their job



- Tools often disconnected and not compatible with other existing systems



- Multiple tools to search multiple places



- Silos continue to proliferate



- “Decentralization” – lots of small fires!



What is ECM?

Gartner

“Enterprise Content Management (ECM) is used to create, store, distribute, discover, archive and manage unstructured content (such as scanned documents, email, reports, medical images and office documents) and ultimately analyze usage to enable organizations to deliver relevant content to users where and when they need it.”

AIIM (Association of Information and Image Management)

“Enterprise Content Management (ECM) is the strategies, methods and tools used to capture, manage, store, preserve and deliver content and documents related to organizational processes.”

Looking for the best of both worlds

An ECM Tool addresses these issues:

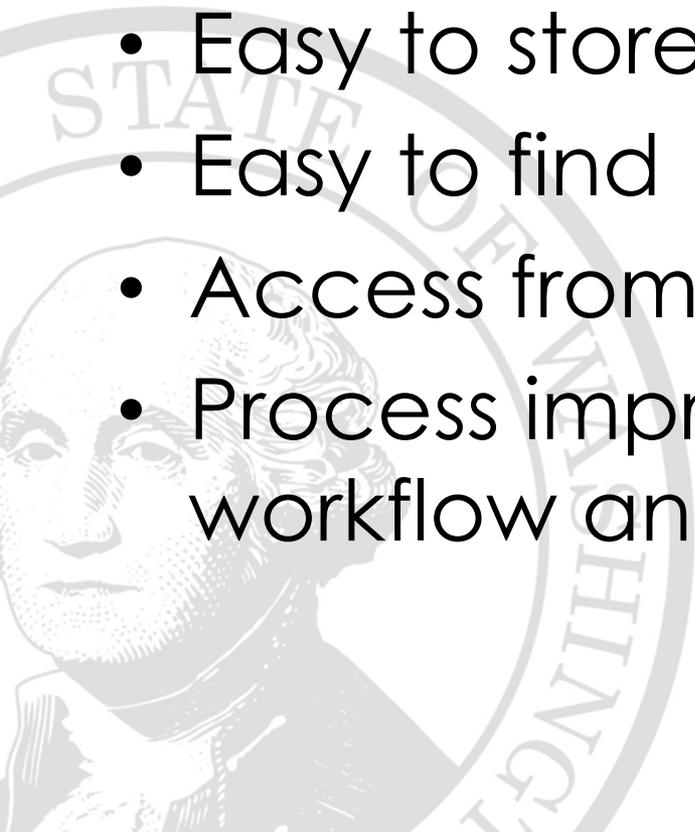
- Tagging/application of metadata that is logical and appropriate to the business
- Users do not have to become records experts to do their work
- The tool and the agency become the stewards of the information
- Emulates the structure of the paper process “behind the scenes”
- Manages records throughout their entire lifecycle (cradle to grave)- also “behind the scenes”

What's in it for you?

ECM tools make things:

- Easy to use
- Easy to store
- Easy to find
- Access from anywhere, anytime
- Process improvements through workflow and automation tools

YAY!

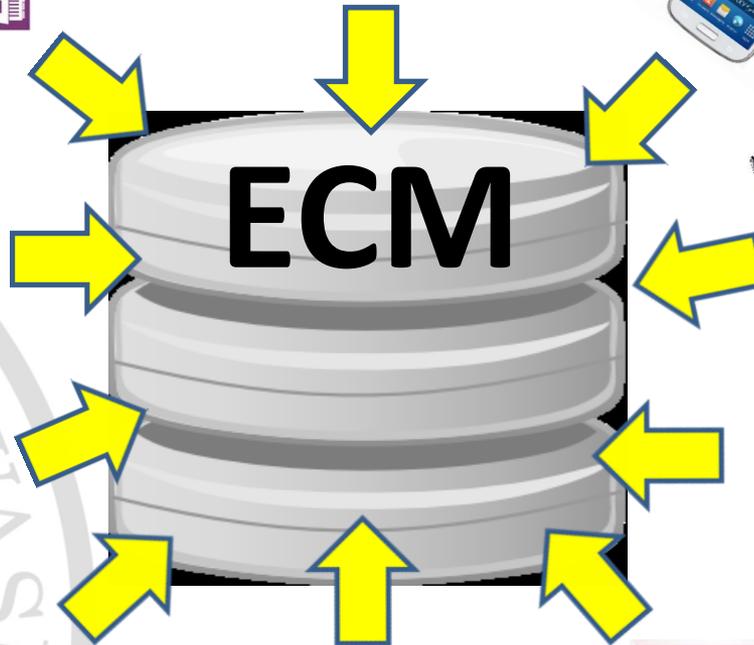


In a perfect world

Integration with other existing systems

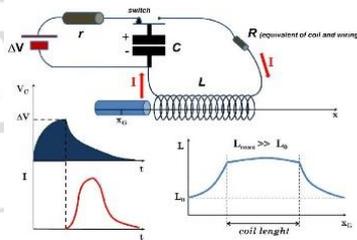


Supports Mobility



Audio Files

Manage over 400 + formats
Including emails,
Audio/video files



Behind the scenes

- The “dragon lady” becomes an invisible and automated function and process
- Supports management and compliance
 - System watches the retention clock
 - Automated notifications of “time’s up!”
 - Manages litigations holds
 - A human determines final disposition action
 - Defensible destruction
 - As appropriate and ON TIME
 - Audit trails
 - Proof provided and maintained



It's defensible

Audit logs prove and defend business actions, due diligence & the destruction of records done appropriately

Assignee	In Container 'WSA13/465 (Russell Wood)' since Monday, June 10, 2013 at 8:30 AM
Revision Number	53
Document Details	In HP TRIM Store, Microsoft Word Document, 504 KB (517,047 bytes)
Still Needs a Response?	No
Audit Events	<div style="border: 2px solid red; padding: 5px;"><p>A13/9026 New Document Revision Added - \\archivesstorage\staff\lkoziara\Offline Records (WA)\Schedule (Development Review) - State - State Government ~ Version 6.0\State Government General Records Retention Schedule Version 6.0.DOCX - done by 'leslie.koziara' on 2/14/2015 at 11:06 AM</p><p>A13/9026 Document Checked Out - Offline Records on 'IT0234.secstate.wa.pri' - done by 'leslie.koziara' on 2/14/2015 at 10:57 AM</p><p>A13/9026 New Document Revision Added - \\archivesstorage\staff\rwood\Offline Records (WA)\Schedule (Development Review) - State - State Government ~ Version 6.0\State Government General Records Retention Schedule Version 6.0.DOCX - done by 'russell.wood' on 1/12/2015 at 3:55 PM</p><p>A13/9026 Document Checked Out - Offline Records on 'IT0250.secstate.wa.pri' - done by 'russell.wood' on 1/12/2015 at 12:33 PM</p><p>A13/9026 New Document Revision Added - \\archivesstorage\staff\rwood\Offline Records (WA)\Schedule (Development Review) - State - State Government ~ Version 6.0\State Government General Records Retention Schedule Version 6.0.DOCX - done by 'russell.wood' on 1/9/2015 at 4:27 PM</p><p>A13/9026 Document Checked Out - Offline Records on 'IT0250.secstate.wa.pri' - done by 'russell.wood' on 1/9/2015 at 12:36 PM</p><p>A13/9026 Document Checked Out - Offline Records on 'IT0234.secstate.wa.pri' - done by 'leslie.koziara' on 1/2/2015 at 10:14 AM</p></div>
All Contacts	Russell Wood (Author)
Access Control	View Document: Based on Container WSA13/465: People in (Washington State Archives) View Metadata: Based on Container WSA13/465: People in (Washington State Archives) Update Document: Based on Container WSA13/465: People in (Washington State Archives) Update Record Metadata: Based on Container WSA13/465: People in (Washington State Archives) Modify Record Access: Access denied Destroy Record: Access denied

State Wide Master Contracts Now Available

- Four (4) vendors with statewide master contracts
- ECM Boot Camps, Vendor Fairs and ongoing training offered

The Laserfiche logo consists of the word "Laserfiche" in white, sans-serif font, centered within a solid orange rectangular background.

Laserfiche®

The Open Text logo features the words "OPEN TEXT" in a large, bold, black serif font. Below this, the tagline "The Content Experts™" is written in a smaller, white, sans-serif font, centered within a blue horizontal bar.

OPEN TEXT
The Content Experts™

The EMC2 logo consists of the letters "EMC" in a large, white, serif font, with a superscripted "2" to the right. The entire logo is set against a dark blue rectangular background.

EMC²®

The perceptive software logo features the word "perceptive" in a bold, lowercase, sans-serif font, followed by "software" in a regular weight of the same font. Below this, the text "from Lexmark" is written in a smaller, lowercase, sans-serif font.

perceptive software
from Lexmark

Future State

Records Management is all about having a system!

RM is all about standardized processes
(ISO 15489)

– You can have a manual “system” - hiring more humans (minions) to do the job manually using traditional methods

OR

– You can invest in an Enterprise Content Management (ECM) System and tools



ISO 15489

- **Records management** as "[the] field of management responsible for the **efficient and systematic control** of the creation, receipt, maintenance, use and disposition of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records".^[5]

ISO 15489 Step by Step



There are 8 broadly defined steps to implementing records management (and preparing for a system)

It's another version of "20 questions", and there's a workbook for you!

http://www.sos.wa.gov/_assets/archives/RecordsManagement/ECM%20Boot%20C&W%20Workbook%2010.2.2015.xlsx

Step 1

Initial preliminary investigation and problem statements/business case

- What is the current situation?
- Identify records-related challenges (disclosure/discovery a problem?)
- How bad is it?
- Do you need to fix it?
- Can it be fixed?
- The risk of NOT fixing it?
- What are your BUSINESS needs (not just one person) across the agency?

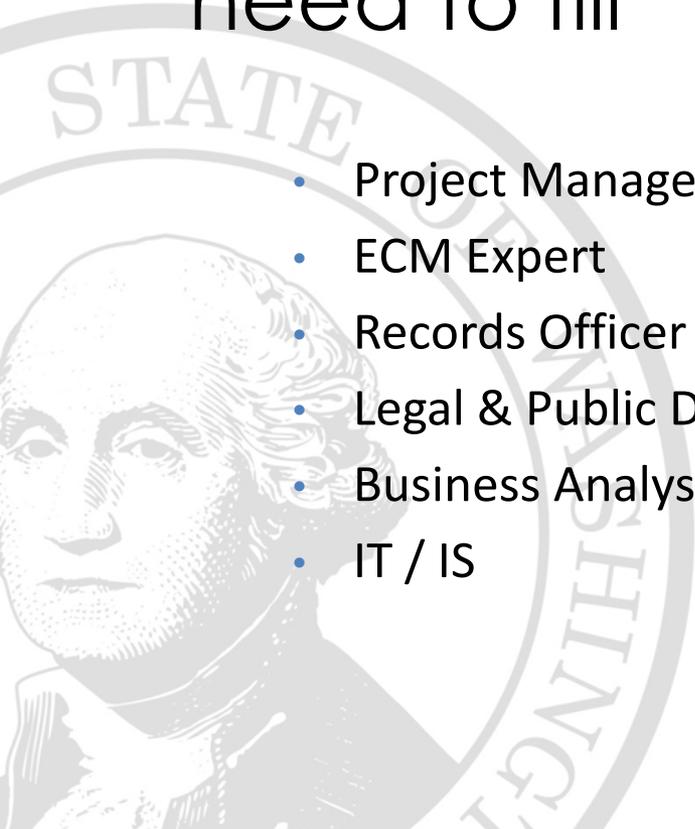
Start with what you know: Business Case

Preliminary Investigations, Problem Statements and Business Case					
Depts/Groups	Business Activity	Manager	Busy Time	Problem Statements	business
Accounts Payable	Pays invoices and does payroll	Tom Smith	July	Needs a way to quickly look up past invoices and track actions taken	Yes
Accounts Recievable	Recieves payments from public for permits	John Brown		Needs a way to track receipts given and proof of payment	Maybe
Permits	Issues permits	Kathy Jones	May	Is tracking permit process in paper, wants an electronic solution	Yes
Complaints	Recieves and investigates complaints from public	Beth Simonson	Apr - July	Complaints are done in an old system, wants to have online compliant forms and an electronic solution for the complaint investigation process, documents and photos and prove actions taken.	Yes
Human Resources	HR	Mike White		Wants a way to track new hire inprocessing	Maybe
Information Services	IT	Jodi Townsend		Needs common location for support documents	Yes

What you know:

Build team/identify resources

- Start identifying the resources you have and what knowledge gaps you need to fill

- 
- Project Manager
 - ECM Expert
 - Records Officer
 - Legal & Public Disclosure
 - Business Analysis
 - IT / IS
 - Communications and Change Management
 - Training
 - Social Media
 - Department Subject Matter Experts and User Groups on a temporary basis

Core Team for ECM Rollout

Specialty	Resource Name	Department	Manager	Availability
Project Manager	Tom Thumb	Project Management	Tom Black	
Legal & Public Disclosure	Jack Sprat	Legal	Jim White	
Records Officer	Bo Peep	Executive	Mary Blue	
ECM/ERM Specialist	Tommy Tucker	Application Support	Corey Teal	
Business Analyst	Boy Blue	Business Analysis	Steve Brown	
IT	Jack Horner	IT Network Support	Pam Green	
Communications	Miss Muffit	Communications	Peter Grey	
Training	Peter Piper	Training	Russ Silver	

Step 2

Analysis of business structures, functions, processes and activities

Keep it at a high level and define for each line of business: Emergency Response (fire, medical), Alarm Inspections, Permits, etc

- What is the agency mission?
- What does each business unit do?
- How many people do it?
- What types of records are created/received/used?

Step 3

Identify agency business records and legal requirements
(laws, regulations or standards and not just the ones for records)

- What records do you create, receive and use?
- What rules/requirements apply – HIPPA for example, anything confidential or requirements from other sources (federal, local, state)?

Step 4

Assessing existing systems/tools and make lists
(Both formal and informal)

What kind of system?

Are tools meeting needs? (*For more than one person?*)

How many users?

What are the support needs?

Which version?

Needs an upgrade?

Is it redundant?

Do existing tools have some functionality to actually **MANAGE** information and meet public records requirements or just store it?

Step 5

Strategies to Prepare For RM and Address Risk (Projects, “To Do” Lists)

- Do policies need to be developed or updated?
- Retention requirements in place?
- What can you do to improve processes?
- Is there a clean-up strategy being developed?
- Can you identify “first adopters” or a pilot area?
- Can you identify areas for automation?

“To Do Lists”

Think of these as mini-projects to be tackled individually as part of your “transformation”

Strategies to Satisfy Requirements					
Strategy Type	Area	Title	Description	Status	Notes
Policy	Policy	Update records management training policy	Training only occurs when employees are hired. Propose policy that includes annual training in records handling processes by department.	In Process	Policy is reviewing this request.
Parallel Projects	Records	Revise Retention Schedule for Accounting Department	Several records are no longer being generated, so their retention schedules can be sunsetted.	In Review	
Design	Business Process	Automate Incident Tracking Process	Incident tracking is currently a manual process. Add in e-forms and automated workflow to improve processes.	New	
Technical Standards	IT Security	Develop or Review Security Strategy	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.	New	
Implementation	Business Process	Identify Potential Pilot Departments	Which groups are good potential pilots? What makes them a good candidate?	In Review	
Future State Map	Business Process	Business process automation - license renewals	We'd like to receive all license renewals from online forms that kick off an automated workflow.	In Review	Will move to the Design Requirements

Keep making lists

Mini - Projects we can work on today				
To Do List				
Area	Activity / Mini-Project Title	Description	Status	Notes
Policy	Update records management training policy	Training only occurs when employees are hired. Propose policy that includes annual training in records handling processes by department.	In Process	Policy is reviewing this request.
Records	Revise Retention Schedule for Accounting Department	Several records are no longer being generated, so their retention schedules can be sunsetted.	In Review	
IT - Software	Asset Tracking software upgrade	IT indicates this is 3 versions out of date and is causing problems for business users. Need to upgrade before going to a new ECM system.	New	
Training materials	Create standardized training program and materials for records management			
IT	Data migration planning for move to ECM			
Clean up Share Drive	File Share Cleanup - Dept A	Split file share cleanup work into 3 pieces, make tracking log for defensible disposition and take on the clean up in small bites. Report back to management on progress.	Creating tracking logs with cleanup tool	
Clean up Share Drive	File Share Cleanup - Dept B	Split file share cleanup work into 3 pieces, make tracking log for defensible disposition and take on the clean up in small bites. Report back to management on progress.		
IT	Plan and build new connectors between existing systems and new ECM system			

Step 6

Design of System & Requirements That Define System/tools and Program (Whether you buy it or not)

- What should the system(s) be able to do?
 - What metadata needs capture?
 - What types of records will it manage?
 - Need integration?
 - Where does it live?
 - Forms and templates?
- (This section has lots of questions!)*

Step 7

Rolling Out The “System”
(Implementation)
RM or otherwise



First things first: This is best done incrementally – please pick a small business unit or department

It lets you practice your principals and get your processes ironed out

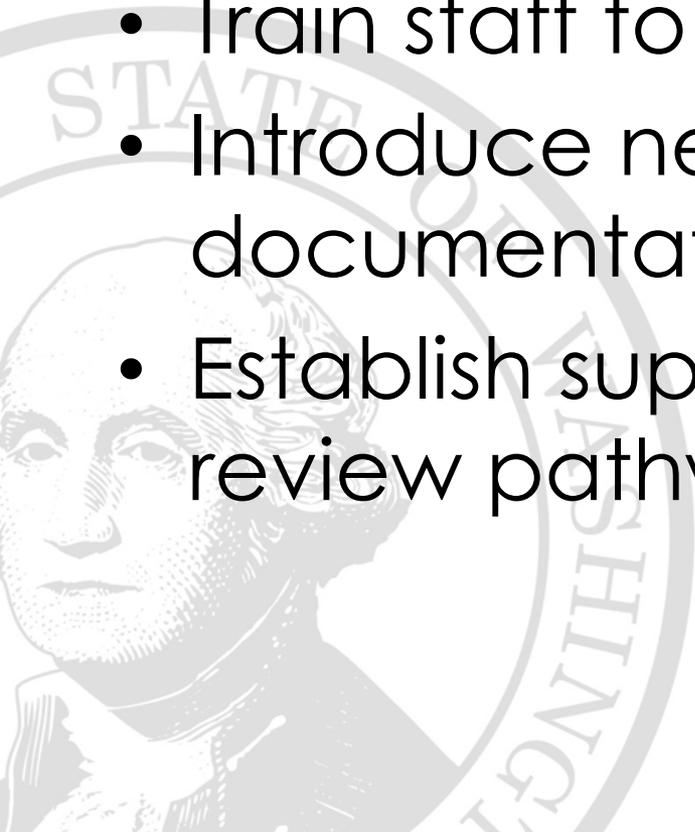
Next – be aware

Second: Not everyone will be as excited as you are, so don't be surprised if a few try to throw tomatoes at you for your efforts. Be ready to duck, keep smiling and make some pasta sauce.

- Develop a Timetable for Implementation
- Communicate, communicate, communicate – what is happening, how it effects users, when it's happening, when there's training, how to give feedback

Keep rolling – it's a process

- Roll out new or redesigned system in phases
- Train staff to use system
- Introduce new or revised processes, documentation and responsibilities
- Establish support, feedback and review pathways



As you go along

Start your mini-projects/parallel projects

Getting the cleanup work done so project milestones can align and roll out smoothly



Some mini-projects

- Develop or Refine an Information Governance policy, clarify responsibilities and develop required processes and documentation
- Inventory – locate and track your organization's records and information assets
- Data cleanup – deduplication, appropriate records destruction, provide missing metadata

Step 8

Checking in and Putting Out Fires

- A review helps check and measure progress and the effectiveness of the new systems and processes
- Helps to develop a monitoring and correction process
- Stamp out any fires or smoldering embers of any issues



Continuous improvements

Plan on more embers flaring up, even though you probably feel that you should know better by now

- Monitoring – Use vehicles like Help desk calls, Suggestion Forms and User Groups
- Post implementation review
 - What you should review (we have a checklist for this)
 - Who will perform it
 - When it will occur
 - What methods should be used
 - The documentation required
- Taking corrective action 

ECM Tool Implementation

IF YOU ARE BUYING A SYSTEM

- Records migration planning – in cases where identified records are to be moved into the chosen ECM system
- Procurement – to select ECM vendor or consultant
- Change management project to prepare staff for new ECM
- IT upgrade projects to make sure workstations and infrastructure is ready for new ECM program

Things to remember

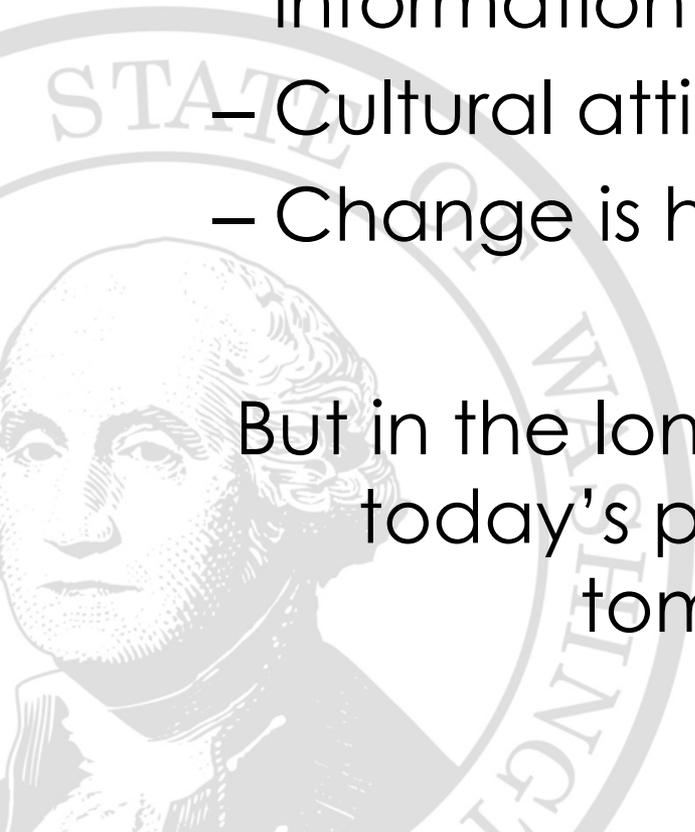
- This takes time, be patient with yourself and others
- You can't do it all at once, and you shouldn't try to
- Expect the unexpected, don't let it derail you
- You'll get there, just keep taking small steps
- Its ok that others don't understand. We all have to start somewhere!
- Don't fear the elephant in the room - he's less scary when you talk about him



It's worth it!

- It's not a quick fix nor a cheap one
 - We've decades of unstructured information and lost governance
 - Cultural attitudes need adjusting
 - Change is hard

But in the long run, ECM is a **real solution** to today's problem that will help avoid tomorrow's headaches!



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But in the long run, ECM is a **real solution** to today's problem that will help avoid tomorrow's headaches!

You are not alone!

Questions?

recordsmanagement@sos.wa.gov

Thank you!

Washington State Archives

Partners in preservation and access

