Records Management - An Agency Perspective

Presenters

- Cynthia Dingman
  - Dept. of Environmental Quality
- Margaret Kauska
  - Dept. of Revenue
- Jeff Sillick
  - Dept. of Transportation

Presentation Outline

- Three Agency Perspectives
- Issues / Concerns
- Recommendations
- Questions

DEQ Perspective

- DEQ's Starting Point
  - Understanding records management requirements hierarchy
    - Reviewed statutes
    - Reviewed regulations
    - Adopted ISO standard
    - Developed Policy
    - Developed RM Plan (details WHAT is required)
    - Developed Procedures (details HOW to meet requirements)
    - Developing Program-specific procedures

DEQ Perspective

- DEQ's Document/Records Management Assessment Findings
  - Records retention tip of the iceberg of records lifecycle
  - DEQ's biggest challenge is "front-end" of records management
    - Managing entire lifecycle of record
    - Creation of document/record
      - Missing elements
      - Workflow and version control during development
    - Storage and access of document/record
      - Multiple copies stored in various locations
      - Unidentifiable versions
      - Documents lost in folders that aren't searchable
      - Inadequate review/approval of final

DEQ Perspective

- How our efforts relate to electronic records management
  - Realized we needed RIM infrastructure before ERMS implementation
  - Understand our requirements (records are records)
  - Establish a RIM culture in DEQ
  - Understand and improve business processes

"Automating a broken system doesn't fix it: it just means you can spread the dysfunction faster."

DOR Perspective

- Third Party Assessment Completed in 2009
  - Four Principles
    - Substantiation
    - Accessibility
    - Control
    - Disposition
  - E-discovery and Legal Holds
  - Vital Records and Disaster Planning
  - Disposition – Preservation/Destruction
  - Records Management Coordinator

DOR Perspective

- – Records Management Committee
- – Update Records Schedules
- – Taxonomy/Meta-tagging
- – Develop Records Management Manual/Training
- 2013 Decision Package
  - – FTE
  - – Funding
  - – HB10

MDT Perspective

Consultant Analysis and Recommendations
- Policy
- Processes & Procedures
- Retention & Disposition Schedules
- Legal Hold & Discovery Management
- Enabling Technology
- Training & Communication

Issues / Concerns

- Issues & Concerns
  - Problem Scope
  - Resources
    - Personnel
    - Funding
  - Commitment
    - Business
    - Legal
  - Fundamentals
  - Technology

Recommendations

- RFP – Procure Professional Services to:
    - Assess the current state throughout the Enterprise
    - Determine desired future state
    - Perform a gap analysis
    - Develop a strategic records plan
        - Long-term strategy for reaching the desired state
        - A plan for addressing resource deficiencies
        - An interim risk mitigation plan

Questions / Comments