Managing Information in the 21st Century

Mary Beth Herkert, CRM, CA
State Archivist

Points of Interest

9% of agency/corporate **annual** budgets are dedicated to e-discovery

*The Secretary of State spent 2.5% of its **biennial** budget in setting up ERMS. Ongoing licensing and maintenance will equal less than 1% of the agency's biennial budget.*

Dupont reviewed 75 million pages and found half were past retention. Cost for review of records past retention - $12 million

Estimates - employees spend 25-40% of their day searching for the right information to complete a given task.

Estimates – organizations can only retrieve about 22% of records relevant to an e-discovery case.

Agencies without an active policy and strategy for managing information will spend one-third more time on e-discovery than agencies that do.

It is becoming cheaper to settle out of court than to defend your agency.

Solution: Become Proactive and Manage your Information

Being Proactive and Getting There

Proactive means being ready – knowing where your information is, how to get it and who can access it quickly and efficiently

How do we do this? We manage our information from the time that we create it until it has reached it's final disposition. We ultimately want to make this process systematic and routine

But this is hard and it takes too much time – It's not hard, it's change.

It costs too much – Obviously there are costs involved, especially when using an ERMS. But……..

Managing Information on the Front End

Case Study
Records Management in the Cloud

Process

How to comply with the law?

Marketing and Re-branding

Managing information on the front end

Building off of the Secretary of State's Electronic
Records Management System (ERMS)
Establishing Relationships
Software as a Service (SaaS) Model

Complying with the law

Old Public Records Law - Retention & Disposition

"'Public record' includes, but is not limited to, a document, book, paper, photograph, file, sound recording or machine readable electronic record, regardless of physical form or characteristics, made, received, filed or recorded in pursuance of law or in connection with the transaction of public business, whether or not confidential or restricted in use." ORS 192.005 (5)

New Definition:

'Public record' means any information that:
(A) Is prepared, owned, used or retained by a state agency or political subdivision;
(B) Relates to an activity, transaction or function of a state agency or political subdivision; and
(C) Is necessary to satisfy the fiscal, legal, administrative or historical policies, requirements or needs of the state agency or political subdivision.

Each state agency or political subdivision shall maintain a public record or accurate copy of a public record in accordance with a retention schedule authorized under the law without regard to the technology or medium used to create or communicate the record.

Building off of the Secretary of State's Electronic Records Management System (ERMS)

Statewide ERMS

In-house – too costly
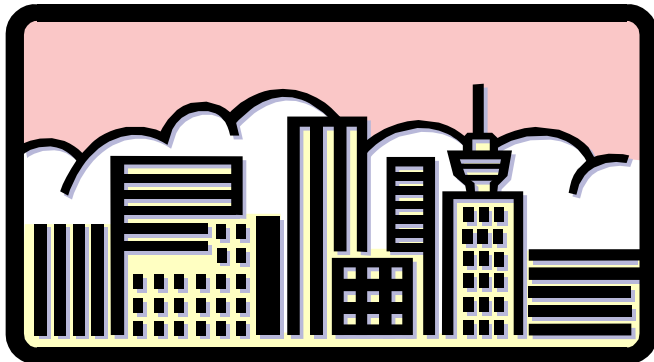
Establishing Relationships

Oregon Records Management Solution
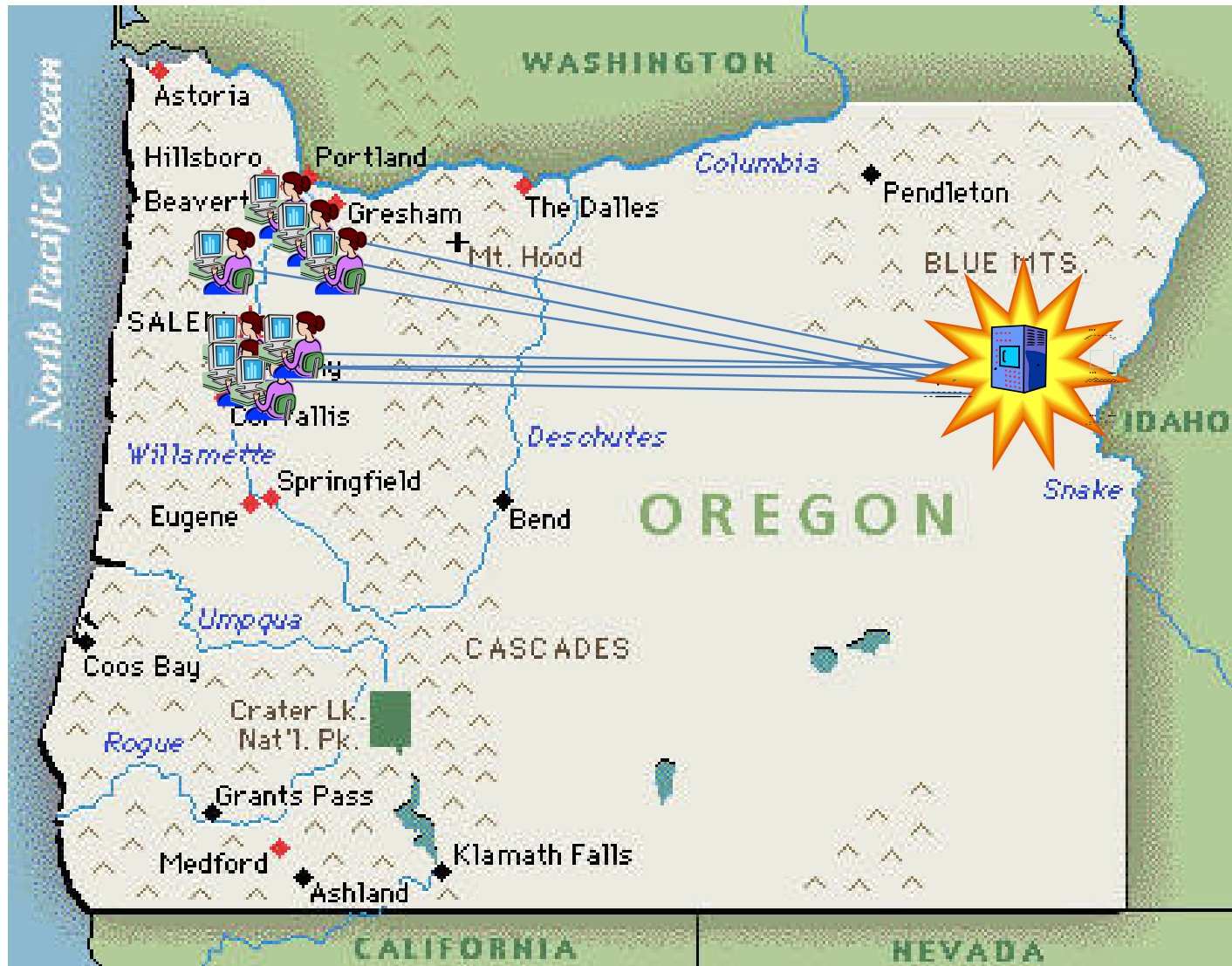
"The Cloud"

What is It?

Cloud computing is a general term for anything that involves delivering hosted services over the Internet. These services are broadly divided into three categories:

Infrastructure-as-a-Service IaaS (ie. Amazon), Platform-as-a-Service PaaS (ie. Google Apps) and Software-as-a-Service SaaS (ie. USA.net, Synergy Data Center)

"The Cloud"

Three distinct characteristics that differentiate it from traditional hosting:

> It is sold on demand,
>
> it is elastic, and
>
> the service is fully managed by the provider

Reasons for Cloud Development:

> innovations in virtualization and distributed computing,
>
> improved access to high-speed Internet, and
>
> a weak economy.

Types of Clouds:

> Public Cloud - sells services to anyone on the Internet
>
> Private Cloud - proprietary network or a data center that supplies hosted services to a limited number of people. (Synergy Data Center)

"The Cloud"

Advantages:

      Potential savings

      Potential speed

      Frees up IT staff

Disadvantages:

      Lack of ownership and control

      Security

      Applying retention and disposition

Getting There – Step 1
Records Retention Schedules

Organizational Placement   **Schedule Number: 2007-0027**

Agency: Secretary of State
Division: Human Resources
Program: Recruiting

Program Description

Human Resources, Recruiting is responsible for actively recruiting for agency vacancies and for helping agency divisions through the recruitment and selection process. Recruiting is also responsible for conducting new employee orientation.

Program Records

173 New Employee Orientation Records

   (a) Transfer records related to individual employees to Employee Personnel Records once Orientation completed
   (b) Retain all other records until superseded or obsolete

State Agency General Records Retention Schedule Records
Administrative Records (OAR 166-300-0015)

Correspondence
Mailing Lists

Personnel Records (OAR 166-300-0040)

Criminal Background Checks
Employment Eligibility Verification Forms (I-9)
Employee Personnel Records

Databases

None

TRIM Context - [Schedules - Top Levels]

File Edit View Search Tools Window Help

Shortcuts

Favourites

Records

Workflows

Locations

Classifications

Schedules

Thesaurus Terms

Saved Searches

Templates

Recent
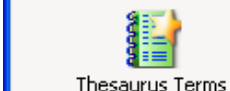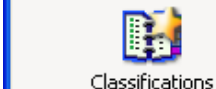
Trays

Search By

Creator

Location

Herkert, Mary Beth

Find

✓	Schedule Number /	Title	Source
	2007-0027-166	NVRA Connection Newsletter	Elections
	2007-0027-167	NVRA Sweeps Week Voter Registration Records	Elections
	2007-0027-168	Voter Registration Card Request Forms	Elections
	2007-0027-169	Blue Sky Advisory Committee Records	Hurman Resources
	2007-0027-170	Personnel Folder Requests	Human Resources
	2007-0027-171	Secretary of State Employee Rosters	Human Resources
	2007-0027-172	Survey Records	Human Resources
	2007-0027-173	New Employee Orientation Records	Human Resources
	2007-0027-174	School to Work	Human Resources
	2007-0027-175	Information Systems Policy Committee Records	Information Systems
	2007-0027-176	Completed Systems Project Records	Information Systems
	2007-0027-177	Website and Helpdesk Technical Services Statistical Re...	Information Systems
	2007-0027-300	Accounts Receivable Records	SOS General Schedule

Schedule Number	2007-0027-169
Title	Blue Sky Advisory Committee Records
Active?	Active
Permanent Retention	Destroy Permitted
Destroy Triggers	Destroy 10 Years after Date Created
Notes	

Properties / Notes

Mary Beth Herkert   ERMSQA   10.34.1.42

Step 2 - Filing Systems, Structure and Classifications

- 360 Feedback
- 2007-2009 Budget
- 2007 year end
- AA
- Adams law suit
- ADA
- ADR
- All Staff Meeting
- Archived EE Files
- Audits Class Study 05
- Background Checks
- Business Continuity Plan
- Central Services Survey
- Class Study
- Contested Case Forms
- Desk Manual

- Donated Leave
- Emergency
- Employee Action
- Employees
- Erin's Stuff
- FLSA
- FMLA_OFLA
- Forms
- Hiring Freeze Reporting
- HRD Policy Audits
- HRD Photos
- HRSD Audits
- Injured Worker IGA
- Layoff
- Mailing list recruitment
- Misc. Ltrs

- MPL Audit
- NEO packets-Erin
- Office Forms
- Ofc. of Admin. Hearings
- ORS 240 Work Group
- PERF EVAL
- Performance Mgmt.
- Permanent Financing
- Personnel Manual
- Prsnl Pol Review-Erin
- Position Descriptions
- RECLASS
- Recognized Svc. Dates
- RECRUITING
- Recruit. Work Grp.
- School-to-work

- Special Merits
- Strategic Plan
- Student Worker
- Technology Plan
- Training
- TS Removal
- Turnover
- Window III
- Window III & IV
- Young II

- 2004 Intern Audit Salaries Audits.xls
- Blue Sky Brochure 2007.pdf
- EEO Self Report Form.pdf
- EE's w-differ(NEW).xls
- EE's w-differ.doc.xls
- Employee Files.doc
- ExecOfc.doc

- For Your Improv.doc
- HB2157.doc
- HR Standards.doc
- HRDBrochure04gray.pdf
- HRDBrochure04.pdf
- INS EMPLOY VER.doc
- J's BIA questionaire.doc
- Leadership qualities.doc
- MOU, Jones.doc
- MOU, Smith.doc
- ORG Charts.ppt
- PA Form.doc
- PAS2.pdf
- PAS3.pdf
- Pers.Folder Request log.xls
- Policy Changes2007.doc
- Policy Changes.doc
- RACFID.Temps.doc
- RACFIDPerm.doc
- Skills Matrix.doc
- Succession Planning sow.doc
- SummerIntern3.07.doc
- SummerIntern3.15.doc

File Structure

HR Administration

Americans with Disabilities Act Records
ADA

Blue Sky Advisory Committee Records
Blue Sky Advisory Committee Records (P)
Blue Sky & Best Practices
Blue Sky Committee Meeting talking points for Jean.doc
ORS 240 Work Group
Performance Management

Criminal Background Check Records
Background Checks
criminal background checks

Employee Personnel Records
Emergency Notification Forms (P)
Employees and Individual Employee Personnel Records –
  Current and Past (P&E)
PERF EVAL
Recognized Service Dates
Special Merits
TS Removal
Discipline/Grievance Files (P)
RACF_ID.Temps
RACF_ID-perm-emp.doc
Personnel folder request log.xls
Employee Action
AUDITS.xls

Employee Eligibility Verification Forms (I9)
INS EMPLOY VERIF.DOC

Federal and State Records and Reports
Affirmative Action Records
Equal Employment Opportunity Records
Archived EE Files

FMLA/OFLA
FMLA_OFLA
FMLA_OFLA Files (P)

Internal Audit Reports
HRSD Audits
HRD Policy Audits
MPL Audit
HRD Audits
Policy Audits

Legal Actions
Jones law suit
Smith, R.
Young

Position Description and Reclassification Records
Audits Class Study 05
Classification Files (P)
Class Study
PAS 2.pdf
PAS 3.pdf
POSITION DESCRIPtions
RECLASS
Turnover
Window III
Window III & IV
2004 Internal Auditor Salaries.doc

Position Inventory Control System (PICS) Reports
DAS Reports (P)

Classifications

SOS-Human Resources-Administration

SOS-Human Resources-Administration-Blue Sky

SOS-Human Resources-Administration-Employee Personnel Record

SOS-Human Resources-Administration-Employee Personnel Record-ADA

SOS-Human Resources-Administration-Employee Personnel Record-Background Checks

SOS-Human Resources-Administration-Employee Personnel Record-FMLA/OFLA

SOS-Human Resources-Administration-Employee Personnel Record-I9

SOS-Human Resources-Administration-Employee Personnel Record-Position Description

SOS-Human Resources-Administration-Employee Personnel Record-Training

SOS-Human Resources-Administration-Position Reclassification

✓	Classification Title	Level Number
	⊞ 📂 SOS - Elections	📂 005/
	⊞ 🗃 SOS - Employee Training Records	🗃 029/
	⊞ 📂 SOS - Executive	📂 006/
	⊞ 📂 SOS - Financial	📂 009/
	⊞ 📂 SOS - Financial Reporting	📂 012/
	⊟ 📂 SOS - Human Resources	📂 007/
	⊟ 📂 SOS - Human Resources - Administration	📂 1/
	⊞ 🗃 SOS - Human Resources - Administration - Blue Sky	🗃 1/
	⊞ 🗃 SOS - Human Resources - Administration - Employee Per...	🗃 2/
	⊞ 🗃 SOS - Human Resources - Administration - Position Recla...	🗃 4/
	⊞ 📂 SOS - Human Resources - Recruitment and Selection	📂 2/
	⊞ 📂 SOS - Human Resources - Reports	📂 3/
	⊞ 📂 SOS - Human Resources - Training	📂 4/
	⊞ 📂 SOS - Information Management	📂 013/

Classification Title	SOS - Human Resources - Administration
Name	Administration
Retention Schedule	
Notes	

Properties / Notes / Preview / Previous

Step 3 – Implementation and Buy-in
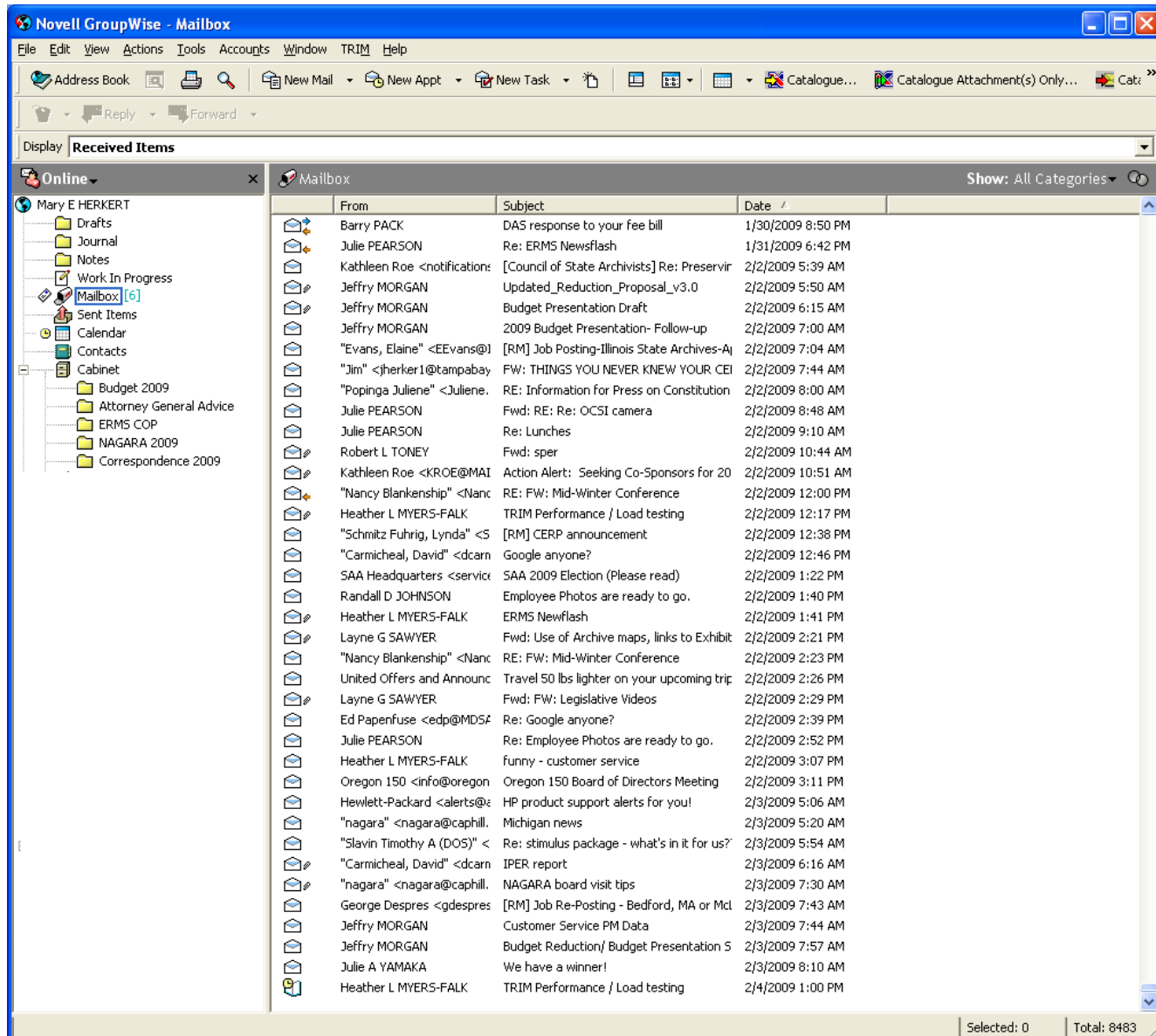
ORMS – Where Are We?

10 Pilot Agencies – represents all levels of government in Oregon

5 Early Adopters with more in line

Statewide ERMS – Is it worth it?

1. Evaluate and oversight of product
2. Think creatively and call in the experts
3. Security
4. Changing behavior

Next Steps

1. All government agencies in Oregon are using ORMS
2. Elected Officials (i.e. Governor) are using ORMS
3. Regionalization

Lessons Learned

Management starts with a manual process

If you choose to use an ERMS……
Know what you want the system to do
Get Administrator and CIO buy in
Visit others using ERMS products
Portland
Metro
British Columbia****
Get your Attorney General Involved Early

Be critical when evaluating the product

Lessons Learned

- Looking at Records Retention differently
- Paper and Electronic information is managed together
- Information is easy to locate and find, thus reducing discovery costs
- Asset classification is easy to implement ensuring that information is secure & accessible to only authorized users
- Retention and disposition is routine and systematic
- System is auditable

For More Information

Mary Beth Herkert

Oregon State Archives

Phone: (503) 378-5196

E-mail: mary.e.herkert@state.or.us

Webpage: http://arcweb.sos.state.or.us