It Takes a Village: A State Agency’s Implementation of an Electronic Document Management System

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Ohio Attorney General’s Office
The Way We Were

Decentralized (every man for himself)
The Way We Want to Be

Perspective Shift
Technology and Business Changes

**Before**
- Multiple storage environments
- Sections work separately
- Personal Private Drives
- “My Email” “My records”
- “Keep just in case” mentality

**After**
- One storage environment
- Collaboration
- No more Private Drives
- Focus more on function/role than person
- Automated Retention = Defensibility
What is a document/records management system?

Benefits

• Collaboration
• Defensibility
• Structured
• Searchable
• Automated
Rewind

Sounds neat...but how do I get one???
Drafting the RFP

- Had to make case for Records involvement at this step
- Requested similar RFPs from other states
- List of requirements and ranking
- All vendor questions funneled through IT project manager

Document Management Requirements

- Save/Organize all types of documents/files (including email)
- Searching functions and display
- Retrieving documents
- Granular security/user ability to set
- Retention categorization
- Workflows
Document Management Requirements

- Integration (with existing tools/software/programs)
- Metadata attributes
  - Ability to edit
- Versioning
- Redaction
- Audit capabilities
- Personal information compliance
- Public Records Exemptions
- Disaster Recovery

Records Management Requirements

- Intake of electronic files and file structures
- Assigning retention schedules and settings
- Metadata fields
- Storage/tracking/disposition of physical records
- Security
- Search ability
- Circulation
- Legal holds
- DoD compliance
Scoring the Proposals

• Score sheet directly aligned with RFP sections and requirements
• All team members reviewed & scored all proposals
  – SMEs focused on areas assigned by expertise
  – SMEs led discussion
• All had to agree on final score assessment

Interviewing Vendors

• Equal demo time
• Informed in advance of features to demonstrate
  – Same features appeared on scoring sheets
  – *Wish I would have received more practical, less theoretical demo of retention/destruction features*
• Asked standard set of questions
  – Based on functional requirements
Interviewing Vendors

TEAM
- Same persons at each demonstration
- Each person had set of questions (but could ask others that arose)
- Scored on individual sheets throughout
  - Does Not Meet (0)
  - Meets (5)
  - Exceeds (7)
  - Greatly Exceeds (9)
- Discussed and came to scoring agreements immediately after
“It Takes a Village”

- Records Management
- IT
- Legal & Business Units
- Vendor

Implementation of DRMS

Ideal Roles for DMS Roll-Out

**Vendor**
- Develops structure for program
- Educates IT
- Leads design with business units

**Information Technologies**
- Project management
- Infrastructure support
- Change Management education

**Records Management**
- Understood groupings of records
- Retention requirements
- Guidance on template development

**Business Units**
- What records fall into their record series
- Policy/Procedure for their staff
- Understood their business process and access requirements
DMS Roll-Out – The Plan

Conceptual training for section → Design → Hands-on training → Rollout → One-on-one support

DMS Roll-Out – In Actuality

- Conceptual training
- Hands-on
- Design
- Rollout
- Some one-on-one support
- Redesign
- Retraining
- We’re still working at this!
The Concept of a DRMS

Designs
“It’s All About the Benjamins 
Records Baby!”

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**Who Should I Ask?**

**DRMS Request Responsibilities**

**Records Management**

- Requesting a Workspace Creation
- Requesting a Workspace Deletion
- Requesting a Workspace Security Change
- Requesting a Workspace Metadata Change (i.e., Lead Attorney, Matter Name, etc.)
- Requesting a Workspace Matter Type Change (Two Steps: Request new workspace/old workspace)
- Requesting a new workspace template to be created (built to RM first assigned appropriate folders for the record series, then ISIS creates the physical template)
- Closing workspaces in DRMS
- Questions on searching and finding documents or workspaces
- Confirming a duplicate workspace
- Unlocking “Checked Out Documents” of former employees

**ITS Support**

- Adding new Users to DRMS
- Adding new Clients to DRMS
- Adding any missing DRMS features or Plug-ins to Microsoft Office or Outlook (i.e., “I don’t see a DRMS tab on Microsoft Office” or “I don’t see DRMS on Microsoft Outlook”)
- Scheduling DRMS training or one-on-one support
- Questions on searching and finding documents or workspaces
- Changing Users from one Section to another
- Adding or removing a User from a Group
- Issues regarding “Checked In” or “Checked Out” documents
Security v. Collaboration

Roll-out schedule needs to be flexible to your users

Section not ready to be rolled-out? Then don’t train them yet.

Have a designated design team

Need a strong post-implementation plan

Who takes on what support role? Who do users go to with questions?

Lessons Learned from Roll-Out
Ideal Roles for RMS Roll-Out

- Enters in Record Series and Retention Schedule
- Identifies Locations in Office
- Runs retention
- Works with section on disposals

IT

- Monitors sync of information from DMS to RMS
- Technical Support

Record Coordinators

- Adds physical records to matters
- Box and assign locations
- Check in/Check out process

RMS Roll-Out

- Records Management is managing roll-out
  - ITS main role is to:
    - Manage the relationship with the vendor
    - Make sure infrastructure can keep the system running
- Working with section record coordinators in hands-on training sessions
  - Tailoring to sections’ specific needs
There’s Math Involved?!?!

• “Retain 5 years from matter closing”
  – Matter Close
  – Retain 5 years (clock runs)
  – Delay Destruction
  – Re-queue Retention
  – Approve Destruction
  – Destroy
  Much more manual, less automated than we were expecting.

Documenting Disposition

• Out-of-the-box lacked criteria necessary for a public entity to document legal disposition
  – Authorizing schedule
  – Date of destruction
  – Eligibility date
Lessons Learned & Tips for Success

• People may not be quick to embrace
  – Don’t like change
  – Don’t trust that new system won’t lose documents
• Acceptance seems to run a generational line
• Hard to shake the “mine, not yours” mentality
  – Fear that other people will alter or delete documents
  – Fear of losing privilege/confidentiality in open system
• Lack of procedures will lead to people making their own decisions with filing or retention

General Observations
Ask Questions Constantly

- Won’t know everything right away
- Vendor answers questions
- Vendor provides fixes
- Plan weekly meetings with Vendor

Get Involved in Design

- RIM should be involved where records are affected
- Reflect record series in designs
- Open to questions
- Represent in meetings
Play in the “Sandbox”

- Trial and Error
- Test Environment
- Understand metadata
- Play with searching and security
- Test on older records

Prepare and Assist

- Focus on groups, not office as a whole
- Use examples
- Come early and stay late
- Design guides, tips, or graphics on system functions or uses
  - People like pictures
Policies & Procedures

- Buy-in from Management
- Procedures prevent
  - Individual Decisions
  - Lax Use
- Allows the users to take on responsibility of use

“We’re getting back to first principles ... which means we’re going to have some.”

Unexpected Benefits

- More staff know about the Records Management department than ever before
  - Existence
  - Function
  - Importance
  - Improved communication
- Concerted effort to revise and/or create new retention schedules
- Cleanup of inactive records as we migrated on to the new system