

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

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## Ohio Attorney General's Office

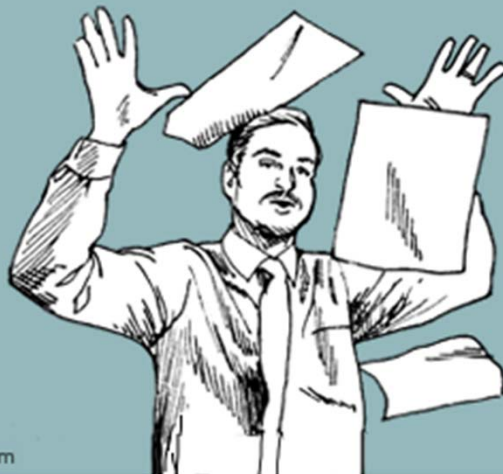


## The Way We Were

Decentralized (every man for himself)

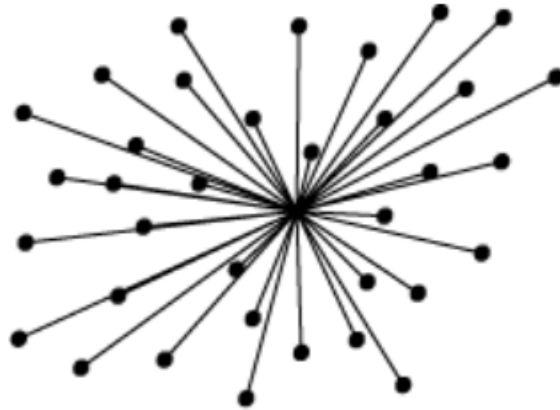


Look! My new filing system!



your  cards  
someecards.com

## The Way We Want to Be



## Perspective Shift

### Technology and Business Changes

#### Before

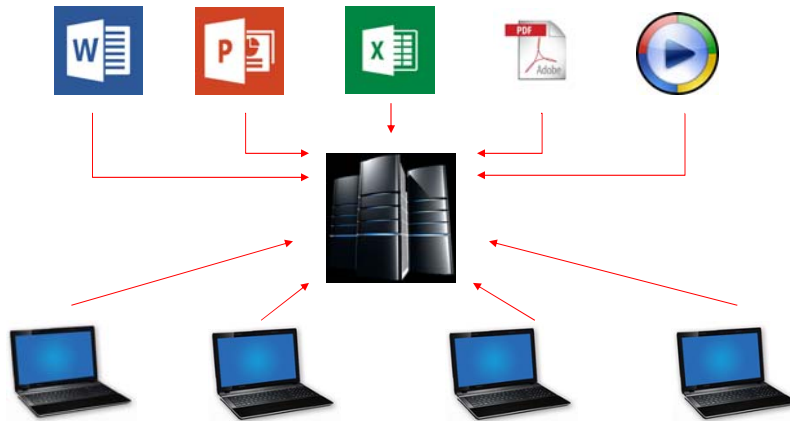
- Multiple storage environments
- Sections work separately
- Personal Private Drives
- “My Email” “My records”
- “Keep just in case” mentality

#### 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



## 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



### AUDIT CHECKLIST

- Audit Satisfactory
- Non-conformances found
- Observations made



- 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

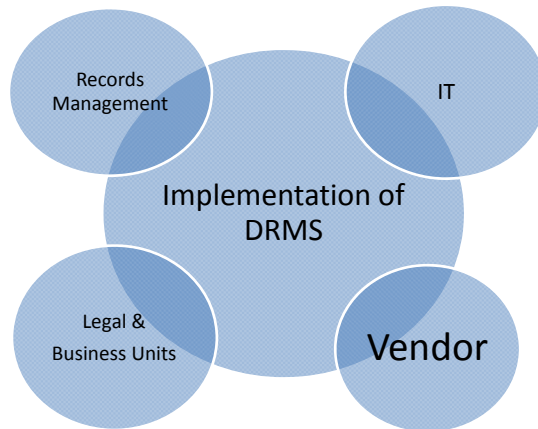
- Same persons at each demonstration
- Each person had set of questions (but could ask others that arose)
- Scored on individual sheets throughout
  - Does Not Meet (0)
  - Meets (5)
  - Exceeds (7)
  - Greatly Exceeds (9)
- Discussed and came to scoring agreements immediately after

Place Vendor Name Here		Does Not Meet	Meets	Exceeds	Greatly Exceeds
CRSIS Evaluation Rating Categories		0	5	7	9
<b>1. CRM Integration to include, but not limited to Microsoft Office (MS) products and MSO applications</b>					
A	How do you access the CRM through MSO products and how do you access MSO products through the CRM?				
B	Show CRM/MSO integration features and functionality.				
C	Show CRM integration and functionality.				
D	Describe and integrate integration including CRM.				
E	Content Manager integration if applicable.				
F	Integration with external systems.				
G	Provide an example of how you integrate.				
<b>2. User Training (Documents) from the user perspective</b>					
A	How are training materials such as manuals, videos, webinars, etc. provided to users and are they available?				
B	How are training materials and documents stored in the CRM, and how are they organized in the system? How do you use attachments independent of the email, or document management system?				
C	How are MSO documents are stored into the CRM through the native application interface?				
D	How are other formats such as .txt, .doc, .pdf, audio and video formats are stored in the CRM?				
<b>3. Searching Features</b>					
A	How do you search for documents including document history, comparison, recent history.				
B	How do you search for documents including document history, comparison, recent history, full text search, metadata search, etc.				
C	How do you search results are organized and displayed including version, document type, metadata fields, and search terms in context.				
<b>4. Document Management from search results</b>					
A	How are functionalities are provided to a retrieved document (e.g. Launching a document, etc. describe system capabilities)				
<b>5. Other Functionality</b>					
A	Other features				
B	Document Comparison				
C	Protection				
D	External Applications				
E	Form generation Templates				
F	Reporting Features				
G	Workflow generation				
<b>6. Design and Architecture</b>					
A	Describe system design and architecture including the proposed solution.				
<b>7. From the Records Manager (Administrator's perspective) - Demonstrate how new retention schedules/series are added to the system</b>					
A	How are retention rules are applied to retain information about the series?				
B	How are retention period formulas assigned to a series that might have a trigger (e.g. date, event, etc.)				
C	How are retention period formulas assigned to a series that might have a trigger (e.g. date, event, etc.)				
D	How are retention period formulas assigned to a series that might have a trigger (e.g. date, event, etc.)				
<b>8. From the Records Manager (Administrator's perspective) - Demonstrate the disposition process</b>					
A	Describe general process for disposition.				
B	Describe workflow.				
C	Describe how records are recorded in the system.				
D	Can a single record be set up for transfer records?				
E	How are records disposed of since they will not require transfer to the records management system?				
F	How are records disposed of since they will not require transfer to the records management system?				
<b>9. From the end user's perspective - Describe the retention area that a document is assigned to a record series</b>					
A	How are retention rules are applied to retain information about the series?				
B	How are retention period formulas assigned to a series that might have a trigger (e.g. date, event, etc.)				
C	How are retention period formulas assigned to a series that might have a trigger (e.g. date, event, etc.)				
D	How are retention period formulas assigned to a series that might have a trigger (e.g. date, event, etc.)				
<b>10. From the end user's perspective - Demonstrate how both used and received can be used according to record series and assigned a retention period</b>					
A	Describe how records are recorded in the system.				
B	Describe how records are recorded in the system.				
C	Describe how records are recorded in the system.				
D	Describe how records are recorded in the system.				
E	Describe how records are recorded in the system.				
F	Describe how records are recorded in the system.				
G	Describe how records are recorded in the system.				
H	Describe how records are recorded in the system.				
I	Describe how records are recorded in the system.				
J	Describe how records are recorded in the system.				
K	Describe how records are recorded in the system.				
L	Describe how records are recorded in the system.				
M	Describe how records are recorded in the system.				
N	Describe how records are recorded in the system.				
O	Describe how records are recorded in the system.				
P	Describe how records are recorded in the system.				
Q	Describe how records are recorded in the system.				
R	Describe how records are recorded in the system.				
S	Describe how records are recorded in the system.				
T	Describe how records are recorded in the system.				
U	Describe how records are recorded in the system.				
V	Describe how records are recorded in the system.				
W	Describe how records are recorded in the system.				
X	Describe how records are recorded in the system.				
Y	Describe how records are recorded in the system.				
Z	Describe how records are recorded in the system.				

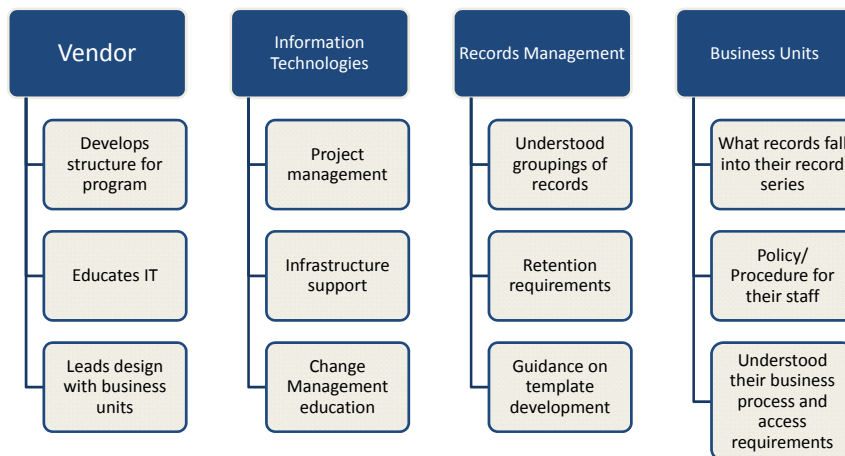


Now it's in the hands of...  
**Who??**

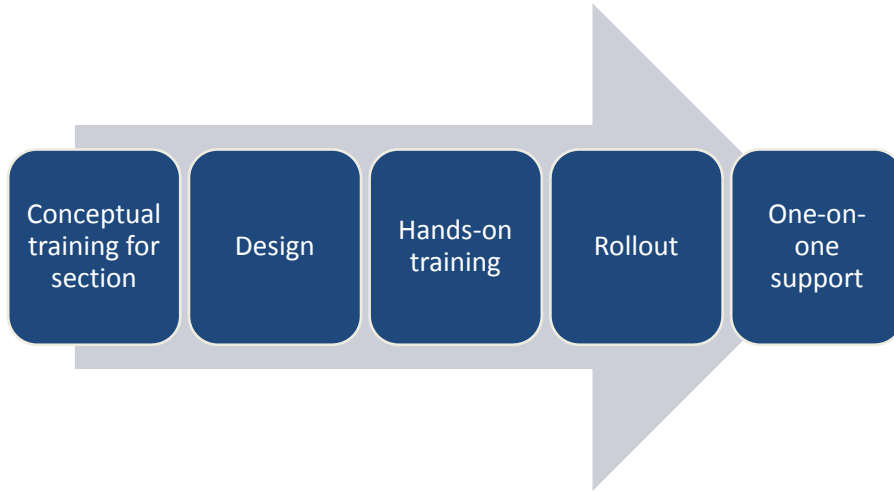
## “It Takes a Village”



## Ideal Roles for DMS Roll-Out



## DMS Roll-Out – The Plan



## 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!”



### “Who Should I Ask?” DRMS Request Responsibilities

Records Mgmt.	ITS Support
<ul style="list-style-type: none"> <li>• Requesting a Workspace Creation</li> <li>• Requesting a Workspace Deletion</li> <li>• Requesting a Workspace Security Change</li> <li>• Requesting a Workspace Metadata Change (i.e. Lead Attorney, Matter Name, etc.)</li> <li>• Requesting a Workspace Matter Type Change (Two Steps: Request new workspace/delete old workspace)</li> <li>• Requesting a new workspace template to be created (<i>talk to RM first about appropriate folders for the record series, then ITS creates the physical template</i>)</li> <li>• Closing workspaces in DRMS</li> <li>• Questions on searching and finding documents or workspaces</li> <li>• Confirming a duplicate workspace</li> <li>• Unlocking “Checked Out Documents” of former Employees</li> </ul>	<ul style="list-style-type: none"> <li>• Adding new Users to DRMS</li> <li>• Adding new Clients to DRMS</li> <li>• Adding any missing DRMS features or Plugins 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”)</li> <li>• Scheduling DRMS training or one-on-one support</li> <li>• Questions on searching and finding documents or workspaces</li> <li>• Changing Users from one Section to another</li> <li>• Adding or removing a User from a Group</li> <li>• Issues regarding “Checked In” or “Checked Out” documents</li> </ul>

## Security v. Collaboration



## Lessons Learned from Roll-Out

Roll-out schedule needs to be flexible to your users

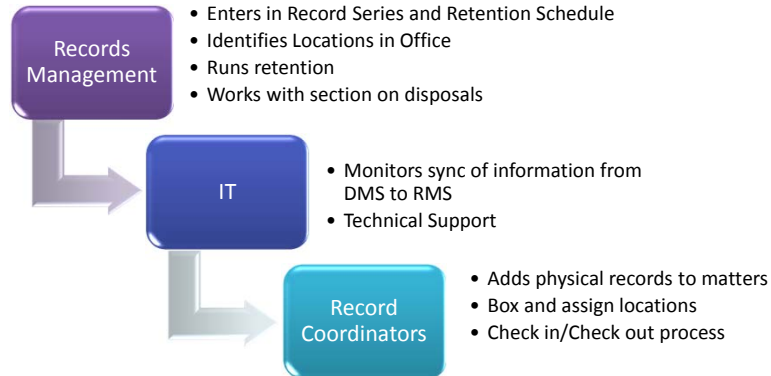
Section not ready to be rolled-out? Then don't train them yet.

Have a designated design team

Need a strong post-implementation plan

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

## Ideal Roles for RMS Roll-Out



## 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



## General Observations

- 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



## 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







  
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