# CASE STUDY

## Electronic Records and Information Management Program

**INDUSTRY**
Government

**COUNTRY**
USA

**Access Sciences**

Astate agency with a well-established records management program and a robust physical records management solution in place determined that, as the volume of its electronic information grew, electronic records required similar governance and information life-cycle management. Electronic records were decentralized and stored in Outlook, and network drives maintained by individual end users. These unstructured repositories housed approximately 15TB of data. In 2015, an internal audit at the Agency found that:

- Electronic records were not consistently retained or purged according to the Agency's retention schedule.
- Users were unsure of their roles and responsibilities regarding records management, including email-based records.

## SERVICES DELIVERED:

- Communication Strategy
- Content Analysis
- Current State Analysis
- Modus™ Records Retention Schedules
- Policy and Process Development
- Taxonomy Development
- Training Strategy and Curriculum

## ISSUE

**Electronic records were decentralized, stored in Outlook and network drives maintained by individual end users, and lacked life-cycle management.**

As a result of these findings, the Agency received executive level approval and endorsement to undertake a multi-year project to implement an electronic records and information management (RIM) solution.

In parallel to Agency-level activities, in 2011, a framework for the management of federal government records was mandated. The Agency was determined to stay ahead of state regulatory requirements and initiated the journey for electronic records in 2015. Subsequently, the State Library and Archives Commission established minimum

standards and procedures (Electronic Records Standards and Procedures, September 2017) for the creation, protection, maintenance, retention, storage, disposition, and preservation of electronic state records as part of the records management program required for state agencies.

## RECORDS AND INFORMATION MANAGEMENT PROGRAM DESIGN, DEVELOPMENT, AND DEPLOYMENT WITH END USER ADOPTION

As the result of the Agency's competitive procurement process, Access Sciences was selected to partner with the Agency based upon our deep expertise in records and information management (RIM), change management, and track record of success in both government and private sectors in the design, development, and deployment of RIM programs.  The project was designed to address solution development and implementation, as well as to provide individuals with the information and resources to master new processes and technologies. Project phases included:

## SOLUTIONS

☑ Expansion of the Agency's physical records management program to include life-cycle management for electronic records

☑ A solution designed and deployed using existing resources and systems to create a fit-for-purpose, scalable solution adopted by end users.

- Review of existing information governance and records management roles, responsibilities, policies, practices, processes, procedures, reporting, forms, and systems documentation
- Completion of manual and automated reviews of existing physical and electronic records repositories and systems to understand the content and organizational structure
- Interview of key stakeholders, subject matter experts, and end users who create, manage, and use information in support of business activities, with the purpose of understanding where content is stored, the types and formats of content created and managed, and how the content supports business operations, transactions, and decisions
- Review of the retention schedule with recommended updates for simplification to create a "big bucket" approach.
- Development of a taxonomy to guide the auto classification of information.
- Design of an information and system architecture for classification and organization of content using existing applications and tools.
- Development of a Change Strategy that included communication and customized training plans to engage key stakeholders and end users and determine key areas for change management reinforcement to drive user adoption.

## LEVERAGING EXISTING RESOURCES AND SYSTEMS TO CREATE A SCALABLE SOLUTION ADDING IMMEDIATE VALUE

As a result of this engagement, the Agency now has:

- Standardized and centralized information and records management processes for both physical and electronic records.
- Improved compliance with retention policies and facilitated defensible destruction.
- Reduced the burden of information and records management on employees by automating the classification of content and management of electronic records and information throughout its life-cycle.
- Consolidated records and information into centralized repositories, reducing costs related to storage across systems and email.

## BENEFITS

- ☑ Standardized and centralized information and records management processes for both physical and electronic records
- ☑ Improved compliance with retention policies and facilitated defensible destruction
- ☑ Automated classification has reduced the burden of information and records management on employees
- ☑ Consolidated records and information repositories, reducing costs related to storage across systems and email

**Access Sciences**