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| 1 | **Title** | Hello. My name is Evelyn Harris, and I’ve had the pleasure of leading the HR Records Management Group from the beginning. This team has been together for five years.  During these five years, we’ve developed a formula that has been successful for us. For the next 45 minutes or so, we will share that formula with you in hopes that you’ll be able to use some of it in your organization. At the conclusion of the webinar there will be a brief quiz. So be sure to pay close attention!  Our team consists of 10 individuals with diverse backgrounds and job responsibilities. Three of the team members will be presenting this webinar.  Now Amy will introduce our learning objectives and present the first two. |
| 2,3 | **Learning Objectives** | Hello, I’m Amy Schrader and I work in Professional & Organizational Development. I’ve been with the team for 5 years and with the University of Washington for 10 years.  Upon completion of this webinar, you will be able to understand the following learning objectives:  1. Examine a proven method of gaining and maintaining senior management buy-in for your process improvement strategy and focus of efforts.  2. List the attributes of a successful, multi-unit team that communicates openly and attracts the broadest audience.  3. Identify deficits in organizational processes that lead to inefficiencies and duplicated efforts.  4. Explore strategies to develop an annual records management plan that includes tools, processes, and events promoting efficient, compliant practices.  5. Define realistic expectations as you implement new processes. |
| 4 | **Gain & Maintain Buy In** | Now we are going to examine how we went about gaining and maintaining senior management buy-in for our process improvement strategy and focus. |
| 5 | **Securing Buy-In** | The HR Records Management Team has been lucky in that we have had senior management buy-in from the very beginning. It all started at a management retreat in 2008. Evelyn brought some pressing records issues to the table and right then and there, our senior leadership decided to support these first steps in process improvement. With this very first green light, Evelyn set out to solve some problems. The results were usable and effective, and our managers were pleased.  Currently, the entire HR management team continues to sponsor our group. And our managers are unified in their support; it’s not just one manager trying to instill interest in this topic.  In your organization, make room for this opportunity! Present the problem and solution concisely to senior management. To retain buy-in make sure that your solution includes a measured approach, and useful, easy-to-digest tools that solve real problems. |
| 6 | **HR Management Team** | The University of Washington is a **complex** organization with academic, medical center, and administrative staff. In all, nearly 30,000 employees work at the University. Human Resources is made up of different operating units. Having leadership from different units coming together in support of this effort has helped us identify the problems that were affecting all of HR. While at the same time, we have remained flexible enough to address specific unit problems. |
| 7 | **Process Improvement Team** | Our group initially started out as a Process Improvement Team. In our early days, our method was to brainstorm and prioritize topics to focus on and improve. Our mission was to evangelize records management improvement for all of HR. At the end of our first year, our presentation to the HR Management Team unveiled our completed work products that addressed some real organizational problems. With this presentation we proved to management that we could create practical, usable tools and serve as subject matter experts within our respective units. All of this built confidence in our team’s efforts and secured even further senior management buy-in. We were asked to continue on as a permanent team, and we renamed ourselves the HR Records Management Group. |
| 8 | **Attributes of a Records Management Team** | Next we’ll discuss the attributes that made us a successful Records Management Team and show how various skill sets are used. |
| 9 | **Team Members** | An effective team consists of individuals with diverse strengths and interests. Our team members come from different units, and they bring an understanding of their unit’s specific records management culture and needs.  Each member brings different skills to the team. For example, we have experts in technology as well as writing and editing. Some of us pay great attention to detail while others are able to take a larger, more strategic view. Our HR experience helps us communicate with a variety of audiences both within our unit and within the larger University community. For example: Our Marketing & Communications unit assists in developing our communications plan for our annual event and our published tools. The combination of a Records team and a Communications team helps to complete the process of bringing the need for records management compliance to a broader audience.  Members also serve as “records ambassadors” to their units and as role models for other University departments across campus. We serve as resources to answer questions and address concerns. We reach out to other departments and offer expertise or guidance. |
| 10 | **Team Leader** | Having a team leader to keep your group focused and on track can be essential in a successful team.  Our team is lively and talkative and, admittedly, will occasionally get sidetracked by conversation, debate, and humor. Our leader, Evelyn, keeps us on track by providing an aggressive, focused agenda for every team meeting, and she will hold us to it. |

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| 11 | **Team Advisor** | Our team also benefits from having Barbara Benson as an advisor. Barbara is the Director of the University’s Records Management Office and brings 31 years of experience to the team. Her subject matter expertise is essential and she’s an integral part of the team. We benefit from her beyond-HR viewpoint as well as her knowledge of policy and legal matters. She also brings a University-wide, statewide, national, and even international perspective.  An experienced advisor will give you a broader perspective on records management as well as enhance your awareness on compliance, policy, and case law. |
| 12 | **Working Style** | While the team started out working reactively on existing problems, as we collaborated we realized we could start being more proactive. We needed to anticipate issues that could arise and figure out how to overcome them. |
| 13 | **Division of Labor** | Strike a balance with subcommittees: There are different ways or styles you can use when forming a successful team. Our team addresses issues that impact the entire department. The team comes up with ideas, initially brainstorming to identify inefficiencies and areas needing improvement and how to handle them. Sub-committees or individuals may be assigned work that’s handled outside of the main team meeting. They bring their products back to the team for polishing and refining.  Now Chris will address the next learning objective. |
| 14 | **Identify Deficits** | Hello, I am Chris Pierce with Campus Human Resources Operations and I have been with the University of Washington and the team for a little over 2 years.  In this section, we’ll cover how we identified common problems within our HR units in hopes that you may be able to use the same approach. |

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| 15 | **Cleaning House** | The initial Process Improvement Team started with the philosophy of getting our own house in order. We unearthed some operational overlap, duplication of efforts, and much inefficiency. We took a records inventory. First, each unit provided a list of the records that they managed. Then we looked for and eliminated duplication by defining which unit was primarily responsible for maintaining those records. We reviewed and updated each unit’s official records retention schedule accordingly.  We came to the conclusion that standard tools and processes were needed to increase communication about records among all HR units. |
| 16 | **Process Improvement Tools** | Here are a few examples of the tools the team developed.   * Official University Personnel File Checklist: we found out that each unit maintained files differently (some files had wrong documentation, or the same information was found in two separate places). We then produced a checklist to ensure each file had the required documentation and was kept for the appropriate retention period. * We also found that we needed a new hire, rehire, and transfer process and checklist. There was a lack of communication among units resulting in receiving incorrect documents or not forwarding information to the correct unit. For example, when an employee leaves one department to go to another within the University, or transfers from the University to another state agency, all documents and files follow the employee.   Using the new checklists helped to streamline transfers and separations. We found that having a checklist for reference helped standardize our processes and was helpful for training new employees. |

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| 17 | **Process Improvement Tools** | In addition to creating tools that benefitted those responsible for records maintenance, we also wanted to focus on tools that would apply to everyone in the department. This resulted in the creation of the Five Best Practices which are:   1. Keep it simple. 2. File immediately! 3. Create and maintain a file name inventory and map of file cabinet contents. 4. Find a simple way to indicate disposition (destruction) 5. Maintain consistency between electronic and hardcopy records.   These Best Practices define simple steps that everyone can use in records management. To create the Best Practices, group members were asked to come up with a few ideas that would simplify managing records. These ideas were then condensed into the top five and were distributed on small laminated cards to all staff for quick reference.  The Five Best Practices are provided as an attachment at the end of this presentation. |
| 18 | **Process Improvement Tools Separate “Separations”** | Many of us thought that the standard definition of separation was an employee who is separated from the University. And we thought that was the definition being applied by all HR units.  However, we discovered something interesting: each unit has their own definition of separation which we had to learn how to incorporate into our processes.  Benefits Office: Employed but no longer benefits-eligible  Medical Centers: No longer employed by UW in a staff position  HR Operations & Compensation: No longer in a staff leave-bearing appointment  The inconsistency created uneven procedures for our filing systems. We took the time to explain the differences and record the official definition of “separation” from each perspective. This helped each unit understand what other HR units might need when processing separations of University employees. We found that all it really took was picking up the phone and talking about it with our HR colleagues – something which wasn’t necessarily happening.  Look for similar discrepancies in your organization. |

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| 19 | **Process Improvement Tools Separation Report** | Here is an example of the information included in the Separation Report.  The separation report was a tool that came out of the discussion around the standard definition of “separation.” It is produced every payroll cycle, but can be run ad hoc. It was created to provide us with a list of separated employees so that we can pull their files in order to archive them. But we discovered that the report had other uses -- such as catching name changes and rehire dates. The great thing was that this report was also being used by other departments across the University. For example, a non-HR department will use the report to comply with the retention period for records of employees who worked with hazardous materials who have left the University with the retention is 30 years after termination of employment. |
| 20 | **Training for HR Units** | One of the final tasks for the HR Records Management Process Improvement Team was to design a training session each of us could present at our own staff meeting. The training included the definition of a record, demonstrated the liability of not maintaining records properly, and presented the tools and work products we developed. |
| 21 | **Under the Washington State…** | One of the main points of the training was to emphasize that a record isn’t just a piece of paper in a file folder in a drawer. Records include many different formats, including email, post-it notes, and phone, text, and instant messages. Even records on personal computers and phones that are used for business purposes are considered a record for discovery purposes.  As a state agency we adhere to the Washington State Public Records Act which says that, “a record is any writing containing information relating to the conduct of government or the performance of any governmental or proprietary function prepared, owned, used, or retained by any state or local agency regardless of physical form or characteristics. |

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| 22 | **Current Challenges** | This year the team responded to several challenges and turned its focus on e-mail records. One challenge in particular is the situation of a separating employee. A separating employee may leave behind inaccessible e-mail accounts – perhaps their personal account plus a group account they’ve managed. This employee’s exit will cause problems for the entire workgroup -- especially if they’ve left with the password to the group account! As we’ve moved from paper to digital records, this has meant that business information may not be accessible to everyone, and when a person leaves the organization, critical information will be lost in their email.  Other problems include keeping records in your inbox past their retention period and creating dozens of unnecessary copies by indiscriminately hitting reply all.  The challenge for our team is to ensure that records are retained and disposed of consistently with our retention schedule to prevent legal liability. The history of records requests has revealed that records have not been located quickly enough. This has demanded extra work in locating the documents. We’ve found that files go missing and documents are not where they should be. |
| 23 | **Penalties for Non-Compliance** | A primary reason records management is important is the substantial liability for non-compliance. This can be your leverage to move records management issues forward.   1. All records are releasable unless specifically exempted. 2. Liability for failure to produce requested information is $100 per day per item.   Under the Washington State Public Records Act, upon request, all staff members are obligated to make all records accessible for inspection or copying. The University is obligated to respond to public records requests, subpoenas, and other legally mandated requests quickly. It’s imperative that records custodians respond promptly to official requests. Check your local, state, and federal regulations to ensure compliance and demonstrate to your management team the requirements associated with records management. The liability from non-compliance can be enormously expensive. |

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| 24 | **Records Culture** | As a team, our bottom line is: we drive home the message that records management is everyone’s responsibility.  The goal is to incorporate records management into our work culture while emphasizing individual responsibility. Records management becomes a part of the daily way of doing business, part of the culture within HR and at the University of Washington. One example is our human resources information systems department now includes records management and retention in the design of HR systems and tools. This is a big change for us! |
| 25 | **At the Starting Line** | We started with a foundational records inventory, documented our separation and transfer process with flowcharts, and standardized our tools so they could be flexible enough to apply to everyone yet specific enough for use within different units.  We’ve found that good records management begins with the creation of the record, not with managing the record at the end of the lifecycle.  Now Odessah will present the final two objectives. |
| 26 | **An Annual Plan** | Hello, I am Odessah Visitacion, with the Medical Centers Human Resources Operations. I have been with the University of Washington for 10 years and with the team for five years.  Once you have established your requirements and identified current issues, creating an annual plan allows you to steer your efforts towards obtainable goals. |

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| 27 | **Strategize** | Our team focuses on one area of records management each year. In each of the past three years, we’ve focused on: cleaning house and standardizing, what is a record?, and email. Having just one theme for the year helps guide the team’s efforts and activities, and lends consistency to the message we send to colleagues.  So in your organization, try to pick one topic each year, or if you’re feeling ambitious, one topic each quarter. A theme ties the information together, and makes it easier to retain. Remember, your wins will be incremental, so build on your last success. |
| 28 | **Develop an Annual Plan** | You want to define goals that are relevant and that address your records needs. Your goals should be realistic and attainable.  Determine what works for your organization. Brainstorm with your group on what tools and training are necessary to address these needs.    Set a timeline and schedule so that you can map out your yearly or quarterly plans. Set deadlines throughout the year so you can stay on track and meet your goals.  While developing your timeline, be sure to include a communication plan. The plan should include rolling out materials, training, announcements, and tools for improving and maintaining records processes. |

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| 29 | **Consider Your Audience** | Consider your work culture; what works for one organization may not work for another. Be succinct; provide information in a brief, easy-to-use and easy-to-understand manner.  Know your audience and how to reach them. Familiarize yourself with the team dynamics and find the best way to communicate relevant issues. For example, if you have regular team meetings, it may be helpful to convey the message verbally and then follow up with written communications such as a newsletter.  Cultivate a culture that’s mindful of responsibility towards records management. Be aware of changing technology and media. |
| 30 | **2012 – 2013 Focus** | Over the past year, with the emphasis on email and electronic records, we developed our annual plan.  This plan included the development of email standards and guidelines using “Information Sheets.” Each Info sheet is one page long and focuses on one topic that explains email practices from a records perspective. We also held related trainings throughout the year which concluded with an annual records management event in April that reinforced the year’s focus. |
| 31 | **HR Email Standards & Guidelines** | One example of really focusing in, and not going too broad is: when the team first started working on the HR E-Mail Standards & Guidelines, we initially thought we’d produce a long detailed document, that would act like a handbook. However, when we started thinking about our audience, we realized that such an unwieldy chunk of information would be intimidating and off-putting for many of our colleagues. Their reaction would be, “Oh, I don’t have time to read this entire document.”  So rather than writing a lengthy document, we decided over the course of the year we’d produce 13 one-page quick and easy-to-read Info Sheets that would provide information, tips and tools, and ideas for how to quickly apply the information – even if all you have is 5 minutes.  We wanted to reach people at different levels of understanding. The Info Sheets started with basic content and over the course of the series, we worked up to the more complicated. The intent was for the Info Sheets to build on one another. |
| 32 | **What Can I Delete Now?** | Each Info Sheet is comprised of several distinct sections. The first section introduces a topic or problem in email management. The second section provides examples and the third section highlights useful tools. The last section, as shown on the slide, provides a call to action even if limited time is available.  As you can see, we provided several options of what can be done based on how much time a person has. For example, if you have as little as 5 minutes, you can clean out your email by sorting your messages by sender or subject and select those messages to delete.  There’s a sample Info Sheet provided in an attachment at the end of this presentation. |
| 33 | **Training** | While we were refining our processes, the training we developed educated our units on the importance of records management. We first focused on: what is a record and why it is everyone’s responsibility to be involved in records management. The training also included information about the tools and work products we developed. We followed up with other trainings on Outlook, email management, and efficiently managing a shared network drive. |
| 34 | **National Records & Information Management Month** | We’re trying to make records management as accessible and interesting as possible to a broad audience. Our annual April event provides the opportunity to bring people together in an informal, fun setting. The event encourages conversation, networking, discussion, and debate around records management issues. Participants enjoy games, skits, snacks, and prizes which reinforce our message. |
| 35 | **Powerful Visuals** | Powerful visuals make a big impact and get people talking. |
| 36 | **Outlook “free space available” bar** | We created the “Biggest Loser” contest to encourage people to clean out their email accounts in accordance with the tips and information provided on the Info Sheets. We had staff take before and after screen shots of their Outlook free space bar. Seeing the space bar shrink in size, along with how much space was freed up, made a huge impact on our employees. Prizes were awarded to the two people who freed up the most space. |
| 37 | **Guess What Makes a Gigabyte** | We also created a physical display of how many boxes of records make up 1 gigabyte. We found that 167 boxes accurately represent 1 GB. We actually had someone correctly guess that it equals 501,000 records total. The visual impact of these boxes was calculated to make people think about how many records are in their email folders. |

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| 38 | **Dramatic Impact** | Money talks! And our team has told cautionary tales about the serious problem of not following good records management policies. We use these two iconic lawsuits to make our point.  In addition to big lawsuit damages, we’ve emphasized the day-to-day impacts of not having good records management. For example, as mentioned earlier when a staff member leaves your department suddenly and you can’t access their email records, important information is lost, time is lost, and time is money! |
| 39 | **Realistic Expectations** | In our final learning objective, we address the importance of setting realistic expectations as you implement new processes. |
| 40 | **Just Do It** | Just Do It   * Start now, worry about finishing later * Concentrate on small tasks rather than doing everything at once * Focus on moving forward rather than trying to catch up * When the time is right, set a timeline or goal   Emphasize to your audience the need to be practical and start small. Starting is better than doing nothing! Once your employees create their own routines and good habits, it’s easier for them to succeed at efficient records management. |
| 41 | **I can’t hear you!** | Some people within your organization are going to resist change. You’re going to bring some, hopefully most, people along, but not everyone. Focus on the majority. Don’t let the people who aren’t interested in participating or changing stop your team’s efforts. Focus on building a culture that encourages employees to improve records management practices. |

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| 42 | **Megaphone** | Each of our team members has been continuously taking information back to his or her unit. We’re cheerleaders for records management. Our goal is to bring about change and an ongoing records management culture.  We recognize that every unit is different. Some will keep everything and others will want to adhere to retention schedules. We realize that records management culture and process will not change overnight, but at least they can begin. |
| 43 | **Quiz – Question 1** | Thank you for participating in the webinar. Are you ready to see what you have learned? It’s time for the quiz.  True or False: To achieve records management process improvement in your organization, work proactively from the beginning—avoid being reactive.  False: Starting out reactively can help gain immediate buy-in, identify and fix existing problems and create a strong foundation for future process improvement. Perform a records inventory, document your current records management process, and identify records management inefficiencies in your organization. |
| 44 | **Quiz – Question 2** | What are realistic records management expectations to convey to others?   1. Start now, worry about finishing later 2. Concentrate on small tasks rather than doing everything at once 3. Focus on moving forward rather than trying to catch up 4. When the time is right, set a timeline or goal 5. All of the above   The answer is 5. All of the above. |

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| 45 | **Quiz – Question 3 and Conclusion** | True or False: Only an organization’s executives and managers need to worry about records management.  If you said false, you are right. Records management is everyone’s responsibility.  This concludes the webinar. With what you have learned today, we hope that you will be able to start a similar effort in your organization. |
| 46 | **Questions?** | If you have any questions, please contact ARMA at the address shown on this slide. I would also be happy to answer any questions you may have about what we have covered in this presentation. You can contact me at [eharris@uw.edu](mailto:eharris@uw.edu). Thank you. |