WE’RE NOT IN KANSAS ANYMORE!
Let’s review the culture required to ensure the creation of an effective Electronic Records Management System.

• There are going to be “characters” to deal with in your workplace that believe the current system is effective and their world as they see it works just fine!

• Some are happy just living in the present and challenge significant changes to their environment.
The approach to obtaining a “buy-in” for a new records system can be a difficult journey.

• You don’t want to be like the Wicked Witch of the East – wreaking havoc on the office during the process.

• Being timid like the Cowardly Lion isn’t going to get you anywhere either.
BUILDING TRUST

• Despite his perceived lack of brains - the Scarecrow actually had a brain, a heart and courage.
• Use your Brain – be smart and prepared as you approach the process.
• Use your Heart – demonstrate that you understand everyone’s needs and attempt to address concerns.
• Find your Courage – A new EDRMS can be a daunting task but it is manageable.
Winston Churchill quote:
“Courage is what it takes to stand up and speak. Courage is also what it takes to sit down and listen.”

• It will take courage to take on this monumental task and deal with the many phases required to complete the task.
• Most of you are probably using a mixture of physical and electronic records.
• This can be accommodated as you go through the process.
CURRENT STATUS

• How many have a designated Records Management position within their municipality?
• How many are the Clerk and in charge of Records Management?
• How many are “other” – stuck with it and trying to survive without designated staff?
“SEVERN’S APPROACH”

• The Township of Severn started with a DOS Electronic Version of TOMRMS with physical records until 2012 when a new upgraded system was required.

• Council’s approval was received easily but this can be a challenge for other municipalities. The “sell” is that it is legislated and the municipality shall retain and preserve records in a secure and accessible manner.

• If your Records Retention By-law has been adopted by Council, it is now a “policy” and must be adhered to by all involved.
• Five (5) vendors were contacted for submissions and all of the Administration Staff were involved in the on-line demonstrations to ensure their “buy in” of CHANGES to come.

• The office staff created their “short list” down to three vendors and we engaged in additional on-line demonstrations to clarify our needs.

• Staff provided their input and were part of the decision making process as to their needs and what the new records management system should provide.

• Discussion / education / enforcement are key to success.

• We now have a fully integrated physical / electronic system that works well for everyone.

• The TAB Fusion system has the capabilities of going totally electronic in the future when staff is ready.
<table>
<thead>
<tr>
<th>File No.</th>
<th>Class</th>
<th>Label Line 1</th>
<th>Label Line 2</th>
<th>Additional Keywords</th>
<th>Current Location</th>
<th>Home Location</th>
<th>Date Opened</th>
<th>Date Closed</th>
<th>Future Review Date</th>
<th>Description</th>
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<tr>
<td>000001</td>
<td>P15</td>
<td>1-535-30 (O3O)</td>
<td>850 LANSDALE COURT</td>
<td>SINGLE FAMILY DWELLING</td>
<td>BOX 428</td>
<td>BOX 428</td>
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<td>P15</td>
<td>30-001-50 (O06)</td>
<td>2117 BLAKE DRIVE</td>
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<td>P10</td>
<td>8-907 (O10)</td>
<td>3500 LANCHESTER POINT CRIS</td>
<td>REPLACEMENT SEASONAL DECK</td>
<td>BOX 113</td>
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<td>P01</td>
<td>BLACK CEDAR - JULY 2016</td>
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<td>14243-14295</td>
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<td>BOX 602</td>
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<td>DECK</td>
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<td>SAND MILL SHED</td>
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<td>CLOSURE, WATER</td>
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<td>Vault</td>
<td>Vault</td>
<td>01-01-1995</td>
<td>10-31-2005</td>
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<td>P15</td>
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<td>PORCH-BOAT HOUSE</td>
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<td>* SPECIFICATIONS</td>
<td>BRIDGE, RECLAMATION SPECIFICATIONS</td>
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<td>LOTS 10-11-1 CONC-2</td>
<td>ROAD PURPOSES - THORNBER ROAD</td>
<td></td>
<td>Vault</td>
<td>Vault</td>
<td>01-14-1996</td>
<td>01-14-1996</td>
<td></td>
<td>Land Acquisition &amp; Sale</td>
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The image shows a screenshot of a computer software interface used for managing active records, likely related to building permits and related documents. The interface includes columns for file number, class, label line, label line 2, additional keywords, current location, home location, date opened, date closed, future review date, description, and notes.
• Be patient – this incredible journey is not going to happen overnight.
• There is less chance of “naysayers” if they are part of the process and understand the needs for records management.
• Let staff guide you to what is needed while keeping in mind what the best solution will be for the municipality.
At times, it may feel like a tornado is going through the office – but the end result will be a well organized, searchable and retrievable system that everyone can enjoy.
Records organization is key to saving time – reducing stress / easy access and a filing system to be proud of!
Tay’s Situation

• 2013
  • OmniRim software to manage paper files according to TOMRMS
  • no records management structure in place for electronic records, electronic files all structured separately, each department did their own thing

• 2019 – Laserfiche in place to manage all files (paper and electronic) according to TOMRMS
Pre-deployment

• Worked with departments to change their file structure to TOMRMS
• Departments eliminated duplicate records – created ownership of process
• Extensive department and staff consultation – particular focus on concerns & getting ‘buy-in’
• Focus on changing perception of records to being ‘more than just paper’
Key to Success

• Extra efforts pre-deployment worth it
• Rolled out one department at a time, lead by example – Clerks/Administration went first
• If you say you are available for questions, be available for questions
• Ongoing training for staff, training part of employee orientation now
Detriments to Control

- Staff Meltdowns (particularly related to destruction of electronic records)
- Changing mindsets – records are the Township vs. ‘mine, my precious’
- Getting people to trust the system (security, HR records cannot be seen by everyone!)
- Stopping people from saving in old places
Things to do Different or Recommends

• Make sure you know of all the software systems that the EDRMS needs to work with (i.e. GIS – still a problem)
• Vendor support after launch
• EDRMS/TOMRMS champion in each department
• Do not underestimate the amount of time this will take (take your guess and double it)
Describe your workplace.

County of Simcoe
• 1,900 PT/FT employees
• 75 office type properties
• Roads
• Ontario Works
• Waste Management
• Children’s Services
• Forestry
• Paramedic Service
• Etc

Springwater Township
• 60 PT/FT employees
• 12 office type properties
• Parks & Rec
• Roads
• Water/Waste water
• Planning
• Fire Service
• Etc
Describe your project(s)
Describe your project (Simcoe).

• Joined Simcoe in 2016
• Simcoe’s pre-existing Oracle EDRMS was unsupportable... ($)

• 2016 search started for a “bolt-on” to work with SharePoint ($)
• 2017 purchased **Gimmel and Harmon.ie**
• 2019 – 5 departments have been on-boarded (1 at a time)
  • converted/kept over 109,000 digital network files
  • deleted 176,298, or 62% of all pre-conversion network files

• Estimated cost, hardware, software... $850,000+ ~

• **Policy – emails will auto-delete on the 366th day (sent/receipt)**
  **Subject to enterprise deployment of Sharepoint and Harmon.ie**
Describe your project (Simcoe) – 1 dept. Pre-deployment

**TOTAL SIZE:**
116.2 GB

**TOTAL FILES:**
325,794

**TOTAL FOLDERS:**
38,467

**DUPLICATES**

25%, or 82,986 Objects (36.9 GB) have been identified as duplicates.

57,080 duplicates (24.8 GB) can be removed.
Describe your Project (Springwater).

• Joined Springwater in 2010
• Previous RM software “crashed”...

• 2010 (Jan-Nov) project planning phase - Laserfiche
• (Reboot) 2011 redeployed Laserfiche (All departments, big bang)
  • Be sure your (IT) PM and team clearly know the outcome
  • Don’t deploy in an election year

• 350 gig of duplicates

• Estimated cost, hardware, software... ~ $200,000

• Policy – emails will auto-delete after 90 days (not implemented)
Culture change within records management

Culture eats strategy for breakfast
Drucker

Why Strategy & Culture Should Eat Breakfast Together
Wokurka, Banschbach, Houlder, Jolly
Culture change within records management

• **Don’t underestimate your workplace culture to derail your project**
  • What’s wrong with what we’re doing, just buy more hard-drives
  • Oh great, another software to do something better, easier, faster

• **Don’t ignore “personalities” that can influence your culture**
  • I was speaking with “Chaty Cathy” and she lost files in EDRMS
  • If those records people touch my files…. I’ll save my files elsewhere
  • My manager says I’m the exception and I don’t need to convert my files

• **Time is not your friend, have a schedule… but double it**
  • I was busy last week, and next week is not looking good for you either....
Culture change within records management

Executive Buy-in via mission statement is critical and necessary

Information is tangible, measurable, and invaluable to staff and has a significant value to the Corporation that is equivalent to other capital assets, such as roads and structures.

The untimely/unscheduled degradation or destruction of any asset whether a road, structure or information, is costly, both in rebuilding the asset and in potential liabilities resulting from the loss of the asset.

An Electronic Document Records Management System (EDRMS) will manage the information capital assets the same way an Asset Management Plan does for other assets (roads, structures etc). ~ Simcoe EMT
Key to success

Understand the sources (on ramps) and types of digital, physical, GIS records, and scope accordingly

• Emails (inbox and sent)
• Scanners Network drives, desktops, USB drives
• Corporate repositories
  • HR – Job postings and resume
  • Finance – Financials, Great Plains, SAP
  • Planning - Cityview
  • Public Works – Munisoft, PubWorks

• Freeware/cloud: Youtube, surveymonkey,
• File types: PDF, xlsx, docx, gif, tif, ppt,
Things to do Differently

Depending on the size of your municipality and project

- Spend more time upfront with documentation
  - Retention schedule updates
  - Security classification (public, confidential or highly sensitive)
  - Access rights (read, write, delete or just read)
  - Power users roles and responsibility (imbedded in dept, empower dept to do their thing)

- Staffing is critical... staff turnover is problematic, be sure to cross train and document roles and functions
- Ongoing support and training; refreshers every week, month, year
- Measure success – if you can’t measure it, how do you know you’re winning/changing

- Demolish silos - everything is open, unless it’s not
  - Why can the public access files in other depts., more than staff? (MFIPPA)
  - Why can’t I navigate to obtain an invoice or organizational chart myself?
Things to do Differently

In Simcoe’s deployment, we’re not directly teaching dept staff about records classification, we’re teaching the records staff about dept business, and implementing records in the background

Current state – teach departments about TOMRIMS classification and coding
• C – Council and Legislative Services
  • C00 - General
  • C01 – By-laws

Future state – Depts use their vernacular and RM learns about that business applying retention on the background
• Minutes, (not C03)
• By-laws, (not C01)
The primary role of the County Clerk is to perform the statutory duties assigned to the position by provincial legislation (the Municipal Act and other recording and maintaining records of all resolutions, decisions, by-laws and other proceedings of Council and Committees) and be overseeing a broad County Council. The County Clerk is also the Chief Administrative Officer.

### Meeting Date
- **23 Apr 2019**
  - Governance Committee - 23 Apr 2019
  - HTML
  - PDF
- **23 Apr 2019**
  - Committee of the Whole - 23 Apr 2019
  - HTML
  - PDF
- **23 Apr 2019**
  - Council - 23 Apr 2019
  - HTML
  - PDF
TOP 10 TAKE AWAYS !!

1. Get the buy-in from the top – Council / Senior Staff. This will provide you with champions to assist with the rest of staff buy-ins during the selection and implementation process.

2. Review your current system, figure out what is lacking and where you need to be when all is done.

3. Make a plan with a schedule (be prepared for this to change) – give yourself lots of time – this is not going to happen overnight. Ensure that the plan will work for everyone involved and make it achievable.

4. Review your office culture before you can change anything. Consult with staff and identify their independent needs before moving forward. What are they doing now / what do they need in the future?

5. Get department champions – one person from each department who is on board and eager to assist.
6. Shop around – there are lots of vendors keeping in mind that some are specifically designed for municipal government. Consult with staff during the review of systems available – bring them with you – have a team of champions.

7. Update or create a Records Management System By-law, approved by Council, which becomes policy and must be adhered to. For the stubborn ones – this is the only approach. TOMRMS is a great start and it can be customized to meet all of your needs (eg. retention / destruction). Consult with your departments about what records management means and what they need to make their jobs efficient.

8. Once the records system is up and running – stay on top of all new staff – make it part of the employee orientation. You might find new champions!

9. Once implemented, do a review of what is working and what is not working which is quite feasible. Don’t be afraid to deal with what is not working – nothing is perfect.

10. Everyone will learn at a difference pace. Patience is a requirement – not a virtue. If you don’t have patience you will have gray hair before it is done!