ARMA Vancouver Island and Government Records Services

EDRMS in Theory and Practice
October 8, 2016

Our Safari into EDRMS

Presented by *Bernice Chong*,
Manager of Operations at the Law Society of B.C.

Itinerary

- Operations and functions
- History of records and Information management
- ARMA's principles
- Processes
- Challenges
- Lessons learned

Mission:

"The principle aim of the Law Society of BC is a public well-served by a competent, honourable and independent legal profession. The secondary aim is the promotion and protection of lawyers' interests provided it does not derogate from the principal aim."

Functions

- Operational functions
  - Admission
  - Investigations
  - Practice advice
  - Audits, research, analysis
  - Informing & protecting public
  - Custodianships, locums
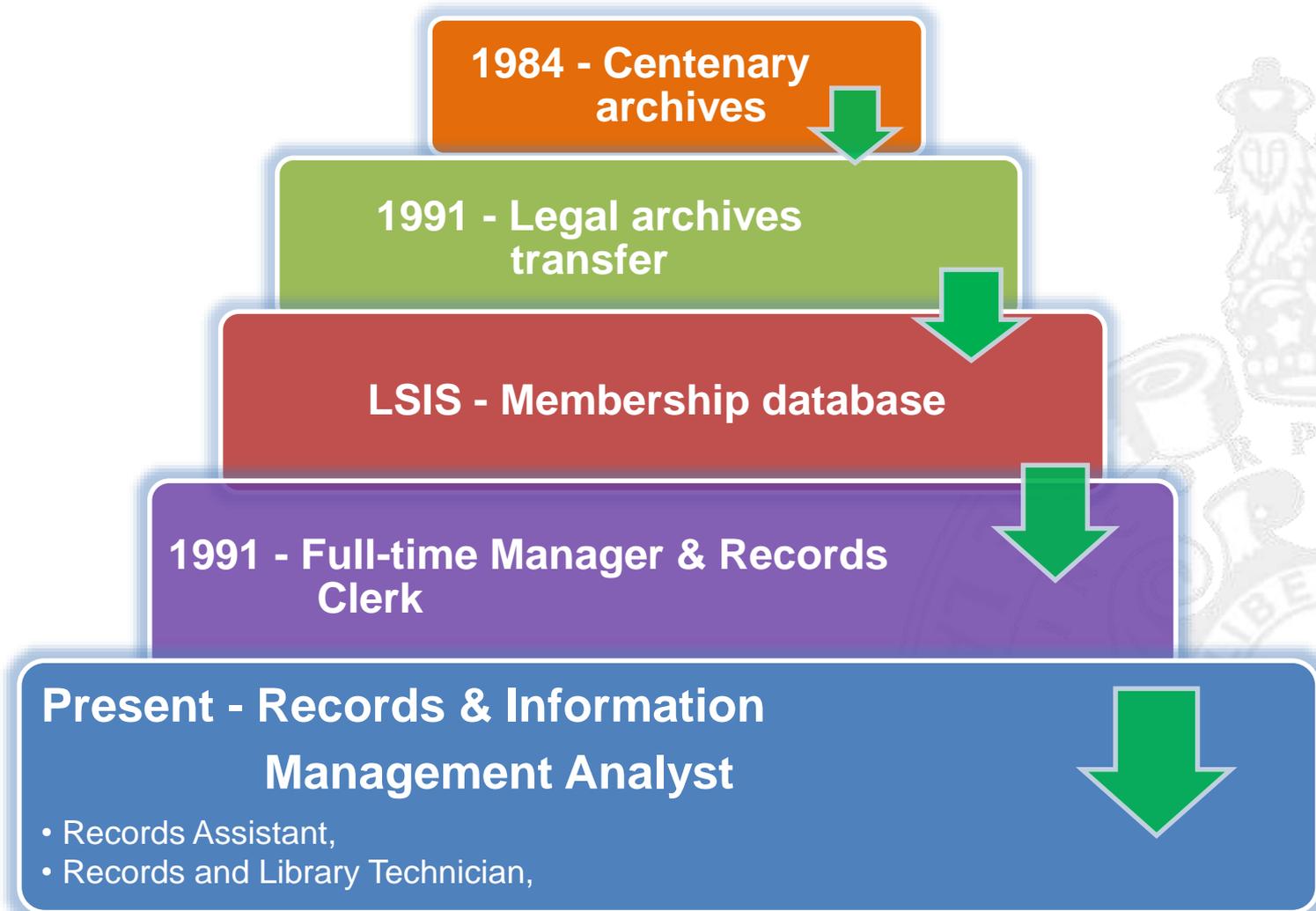 - Lawyers Insurance Fund

Staff Breakdown

Staffing

Legend: ■ Managers ■ Lawyers ■ Professionals ■ Admin

Pie chart values: 13%, 24%, 12%, 51%
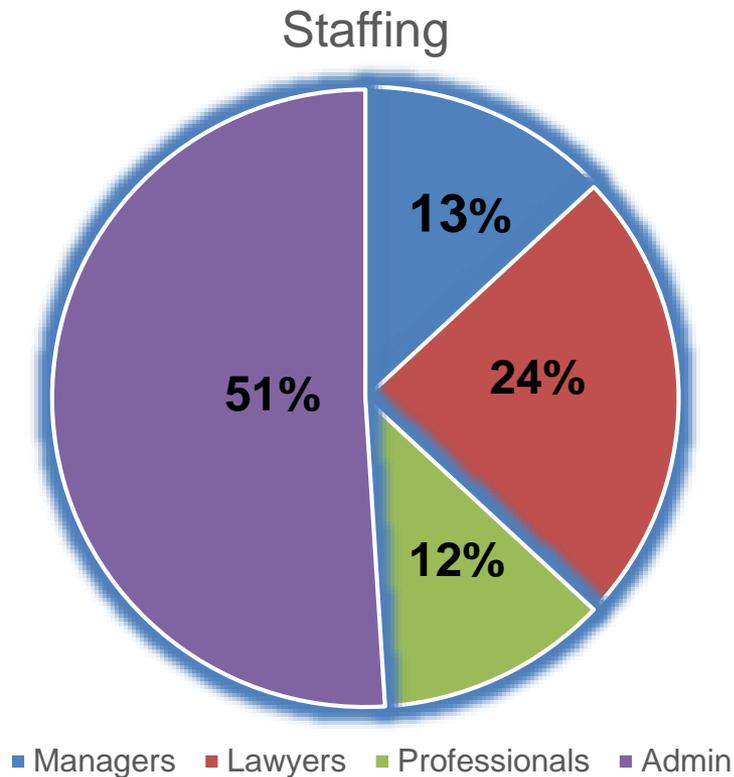
- 101 Administrative professionals
- 47 Lawyers
- 26 Managers
- 24 Professionals (Accountants, Human Resources, etc.)

A Brief History

1984 - Centenary archives

1991 - Legal archives transfer

LSIS - Membership database

1991 - Full-time Manager & Records Clerk

Present - Records & Information Management Analyst
- Records Assistant,
- Records and Library Technician,

Information Culture

- Little appetite/appreciation
- In house databases
- E-Drive: departmental groupings
- P-Drive: personal files
- Official record was paper copy
- Name-it, file-it, destroy-it
- E-mail reduction

Core Process Review

- Categories of solution
  - EDRMS
  - Communications
  - New processes
  - Policy changes
 - Training
  - Access to information

Core Process Review Findings

- Solutions were not compatible
  - Universal spreadsheet
  - Colour coded binders
  - Historical records digitized
 - Scan reports for access

Next Step

- Consulted with third party regarding
    - Law Society Information System
    - Case management system
    - Leveraging LSIS
    - Business & IT policies
    - Law Society culture impact
   - How records are managed
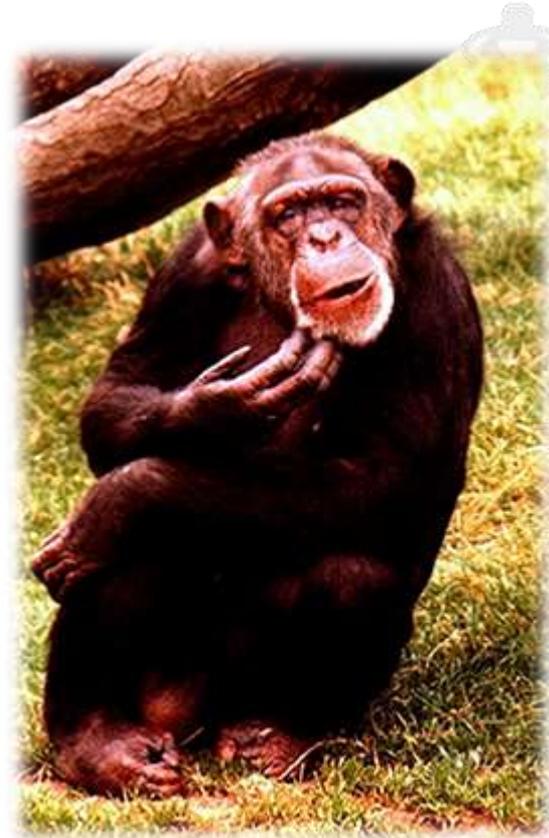
ARMA's Principles

- Level 1 (Sub-Standard)-recordkeeping concerns are not addressed/ad hoc
- Level 2 (In Development)-recognition that recordkeeping is important
- Level 3 (Essential)-legal requirements met
- Level 4 (Proactive)-initiating improvements
- Level 5 (Transformational)-integrated governance into corporation
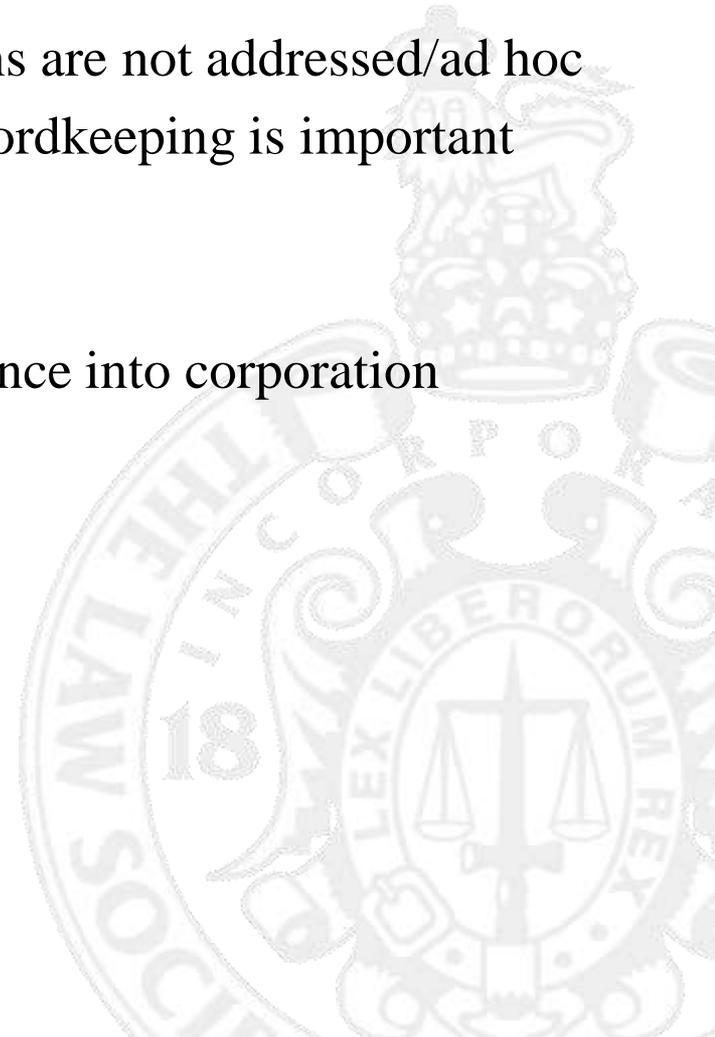
Information Management Assessment Report Findings

- Accountability ✶ ✶

- Transparency ✶ ✶

- Integrity ✶

- Protection ✶ ✶

- Compliance ✶

- Availability ✶

- Retention ✶ ✶

- Disposition ✶ ✶
  - Most standards were rated as in development
 - Law Society not an information centric culture
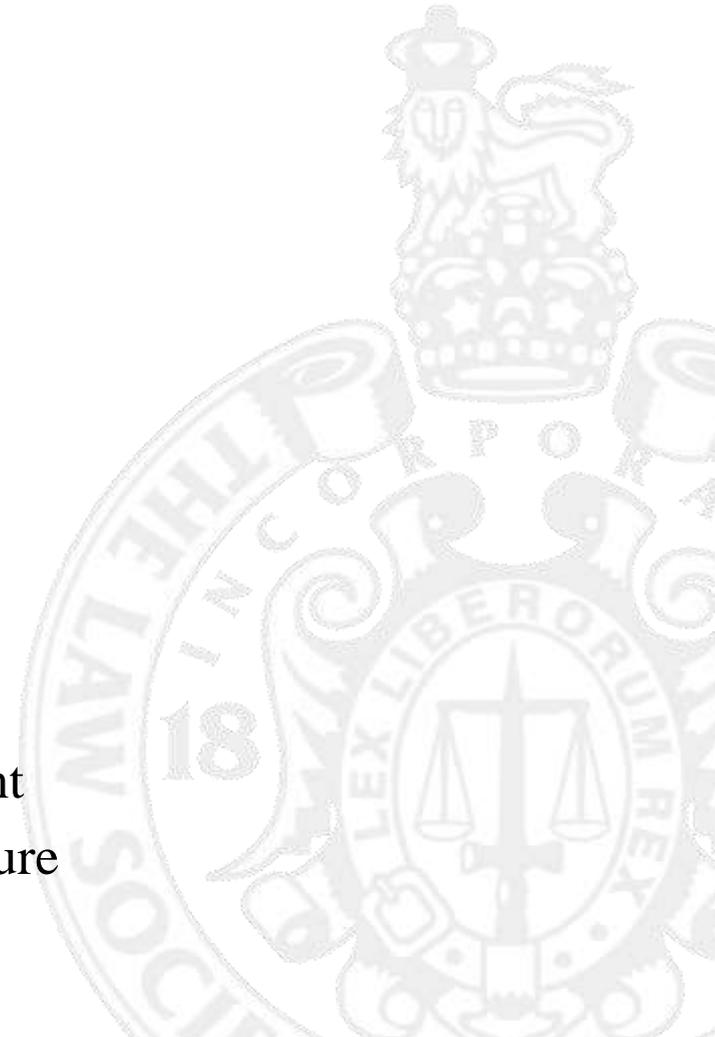
Implementation Process

1. Principles → 2. Best practices → 3. Results of CPR

4. Funding → 5. Phases

Standards for the Project

- External standards
  - ISO 15489 Records Management, ARMA, CAN/CGSB 72.34-2005, DoD 5015.2

- Results will comply with
  - Legal Profession Act, FOIPP, Canadian Evidence Act, Limitation Act

  Different information management processes and policies
  - LSIS modifications
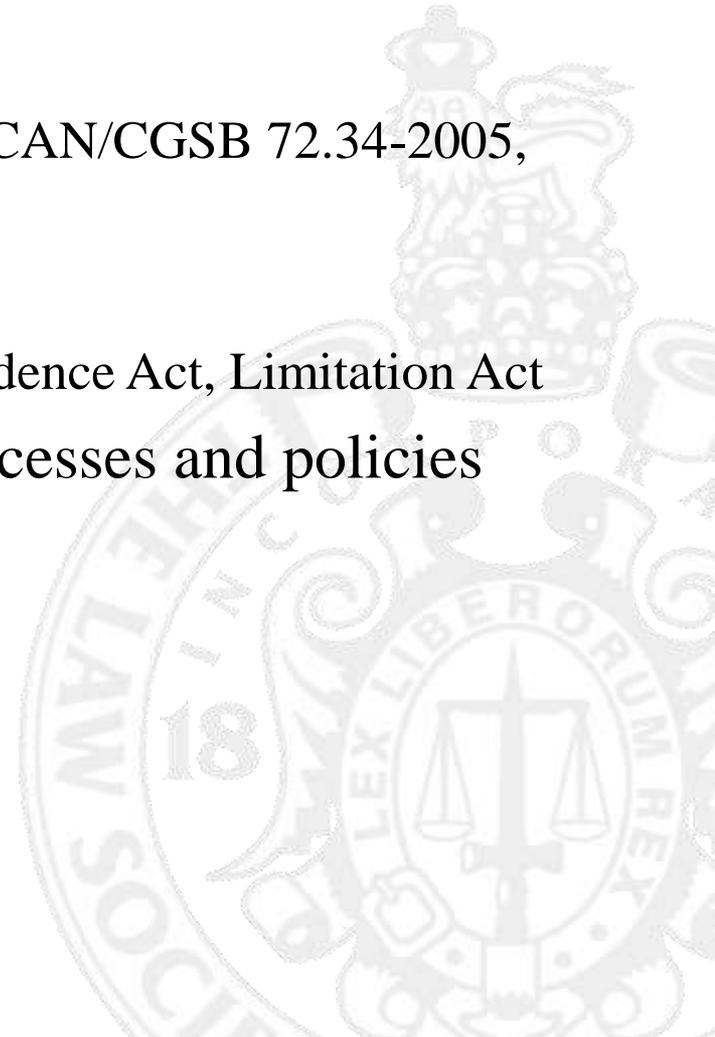
LEO

"It's the king of the jungle and it's the biggest project, the Law Society has ever undertaken to date."

Time Frame

Phase 1: Plan	Phase 2: Design	Phase 3: Procure	Phase 4: Implement	Phase 5: Pilot	Phase 6: Rollout
October – December 31, 2011	January 4- March 31, 2012	April 1-June 30, 2012	July 1- September 7, 2012	September 8-December 31, 2012	January 1- June 30, 2013

Information Policy Principles

- Information is a critical asset

- Whole Law Society approach

- Respect for privacy

- Security access

- Transparency and accountability

- Responsibility of all staff

Information Management Policy

Privacy

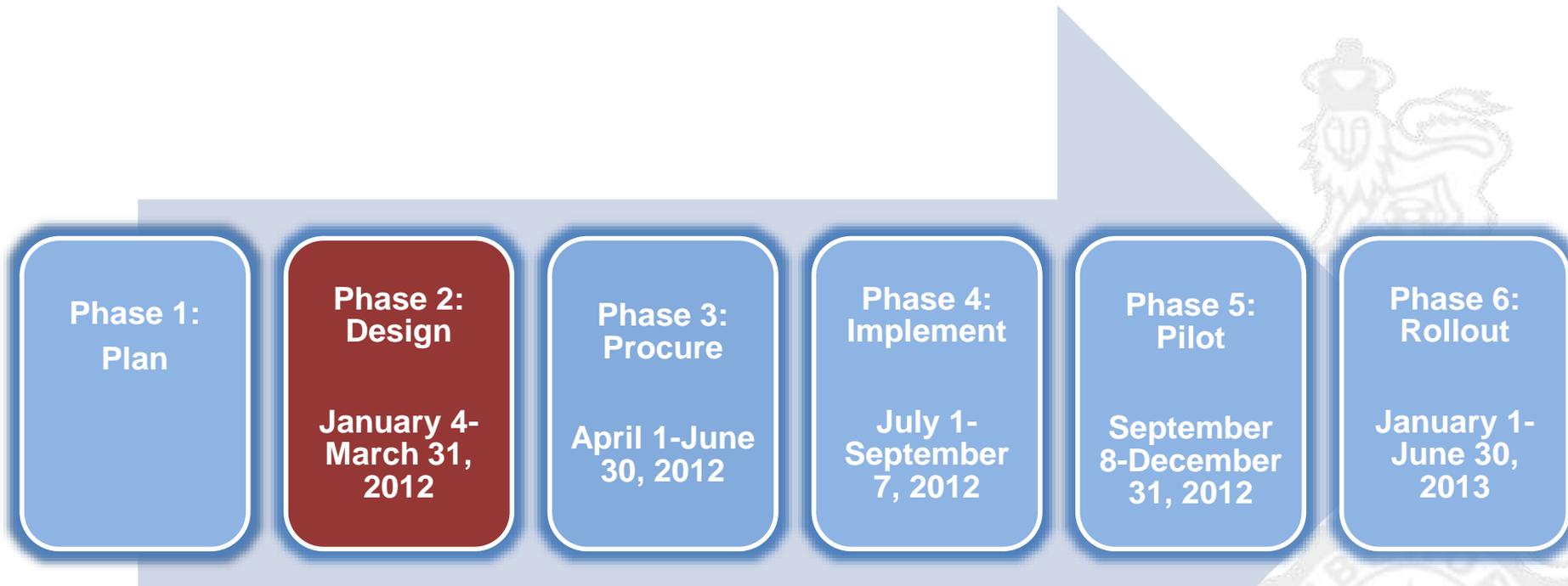| Records Management Procedures	I.T.
EDRMS	Computer Network Security
Classification, Retention, Disposition	Mobile Device
Email Record Procedures	Reasonable Use
Legal Archives	Remote Network Access
Document Security	Software, Hardware
Imaging & Scanning Procedure	System Backup & Restoration
Legal Holds	Telecommunications
Document Naming Guidelines	
Managing Case Files (LSIS)	

Leo

- "Because of Leo, every Law Society employee will play a role in managing and protecting our information – one of our most important assets – and will be empowered to access information and work collaboratively using best practices, all of which will enhance the employment experience and our ability as regulators."

Time Frame - Design

Phase 1: Plan	Phase 2: Design January 4-March 31, 2012	Phase 3: Procure April 1-June 30, 2012	Phase 4: Implement July 1-September 7, 2012	Phase 5: Pilot September 8-December 31, 2012	Phase 6: Rollout January 1-June 30, 2013
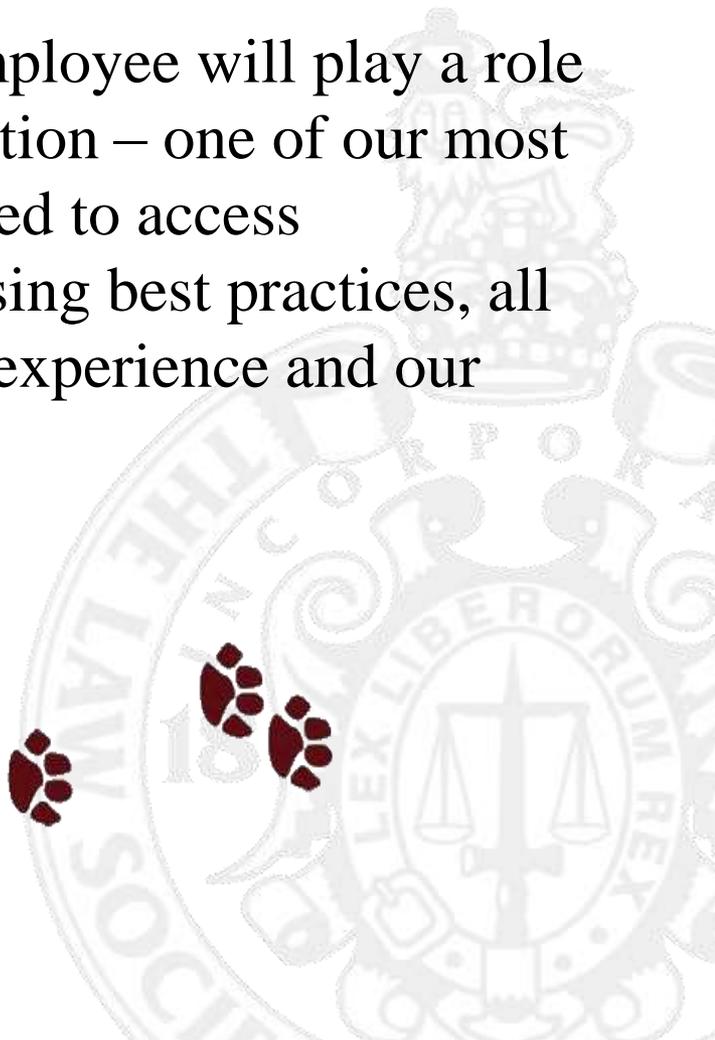
User Needs Survey

- *Records & Information Management Analyst* Myshkaa McKeen interviewed staff
  - 188 persons
- Managers are not document creators
  - Staff need tools to increase effectiveness

Updates from one-on-one sessions

Eighty-seven percent of staff have scheduled a meeting with records analyst, Myshkaa McKeen to provide feedback on their individual needs for document management and collaboration.

"An ability to find and access all information I need to do my job."

Here are some of the comments

from meetings already held about what you hope to get out of the document management system implementation:

"Managing files more efficiently, easy to find and easy to use documents/templates."

"Better control of electronic

documents so that it is clear which files are drafts vs. final ..."

"An ability to find and access all information I need to do my job."

Don't miss out on your opportunity to have your electronic document needs heard! Contact Myshkaa today to set up your meeting.

Leo Liaisons

- Gathering information
  - Key issues
- Report back to departments
- Weekly meetings
  - Feedback
    - Taxonomy
    - Security
    - Metadata
    - Migration plan
- Deadline: April 30, 2012

File Plan

Term \ File \ Part

01-Act, Rules and Code
02-Administration
03-Benchers, Committees and Meetings
04-Building, Facilities, Properties
05-Communications
06-Credentials and Registration Services
07-Custodianships
08-Discipline and Regulation
09-Education
10-Equipment and Supplies
11-Finance
12-Human Resources
13-Information Systems and Services
14-Juricert
15-Lawyers Insurance Fund
16-Legal Matters
17-Policy and Strategic Planning
18-Practice Advice
20-Tribunal
21-Trust Regulation
97-Temporary Space
98-Templates
99-File Where?

Discipline File Plan

Term \ File \ Part
1510-Ombudsperson Inquiry Case Files
1535-Complaints - Administration
1545-Complaints - Case Files
1605-Practice Standards - Administration
1615-Practice Standards - Case Files
1620-Discipline - Administration
1630-Discipline - Case Files
1680-Investigations - Case Files
1760-Member Assistance Programs - Individual
1770-Monitoring Enforcement for Discipline
2105-Unauthorized Practice - Administration
2110-Unauthorized Practice - Case Files
3925-Financial Difficulty - Case Files

Case Files

Term \ File \ Part
20-Discipline Inquiry Case Files
30-Conduct Meetings Case Files
40-Conduct Review Case Files
45-Conduct Review Subcommittee Report
50-Citation Case Files
60-Professional Conduct Records

Security Matrix

Law Society Security Matrix

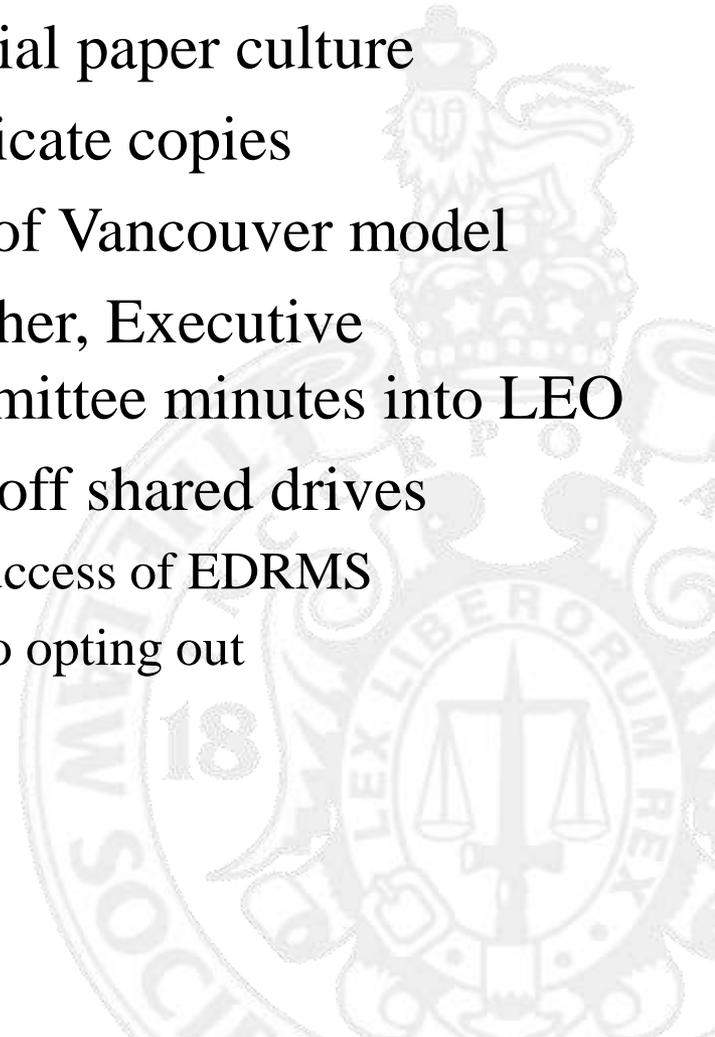Full = Full access including read/write/delete

Read = Read only access

Blank = No access

Primary Group Default Security	CEO	CIO	CLO	CFO	Communications	Custodian	Discipline	Director Education
CEO	Full							
CIO	Read	Full	Read	Read	Read	Read	Read	Read
CLO	Read		Full					
CFO				Full				
Communications	Read	Full	Read	Read	Full	Read	Read	Read

Migration Planning

- Official paper culture
- Duplicate copies
- City of Vancouver model
- Bencher, Executive Committee minutes into LEO
- Shut off shared drives
  - Success of EDRMS
  - No opting out

Document Profile Form

Researching Local Organizations

- Spring 2012
  - Local site visits
    - City of Richmond
    - City of Vancouver
    - BC Securities Commission
    - Powerex
      - Questions
      - Concerns

Safari into LEO

Time Frame - Procure

Phase 1: Plan	Phase 2: Design January 4-March 31, 2012	Phase 3: Procure April 1-June 30, 2012	Phase 4: Implement July 1-September 7, 2012	Phase 5: Pilot September 8-December 31, 2012	Phase 6: Rollout January 1-June 30, 2013
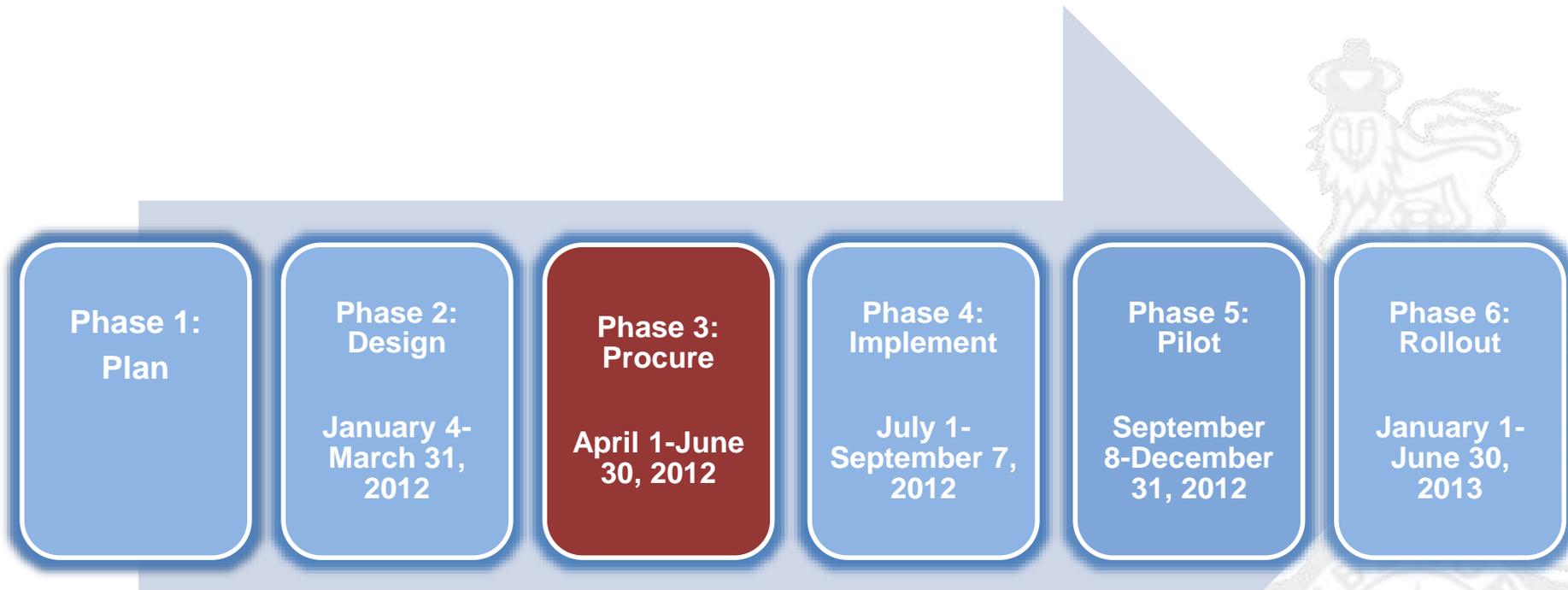
Request for Proposal

- 4 vendor demonstrations
- Contract finalized
    - OpenText eDocs RM 4.3.1.1004
    - OpenText 5.3. Edocs
    - Email auto bulk filer by Traen
    - PDF docs (OCR engine on the server side)

Time Frame - Implement

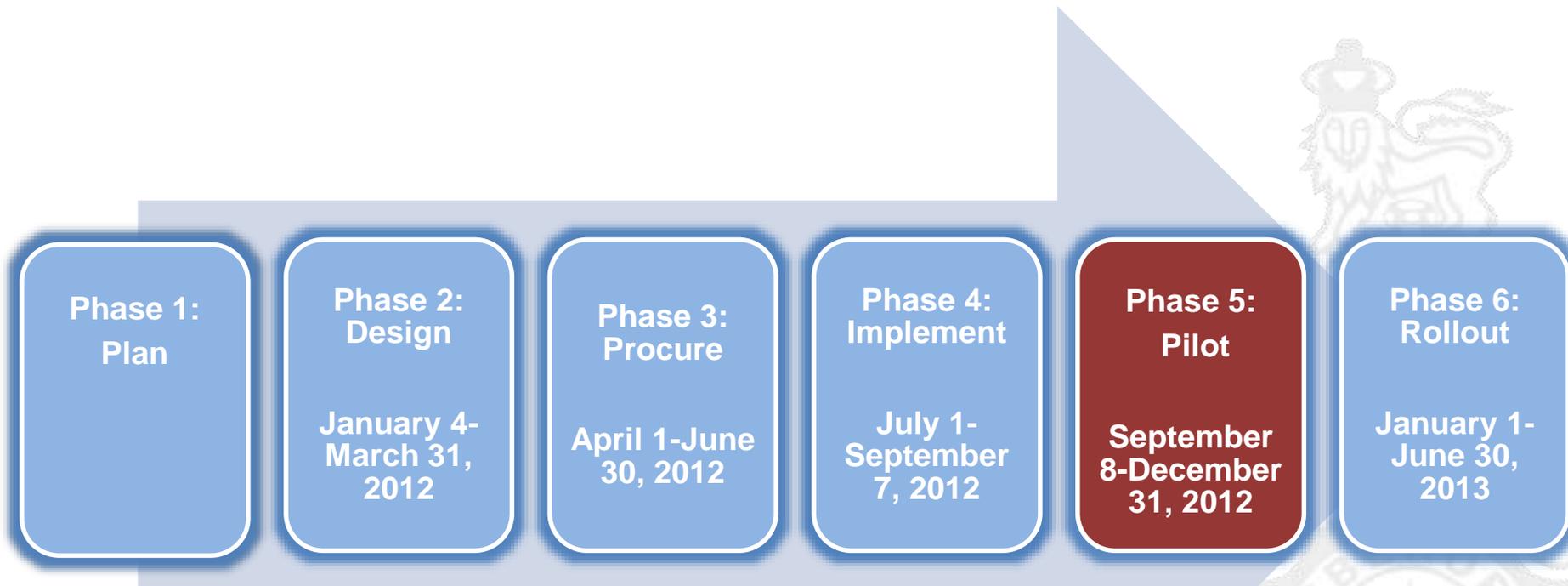| Phase 1: Plan	Phase 2: Design January 4-March 31, 2012	Phase 3: Procure April 1-June 30, 2012	Phase 4: Implement July 1-September 7, 2012	Phase 5: Pilot September 8-December 31, 2012	Phase 6: Rollout January 1-June 30, 2013

Implementation

- Myshkaa McKeen, *Records & Information Management Analyst*
    - Built the taxonomy from *scratch*
    - Tested the taxonomy construction
- IT did installations

Time Frame - Pilot

Phase 1: Plan	Phase 2: Design January 4- March 31, 2012	Phase 3: Procure April 1-June 30, 2012	Phase 4: Implement July 1- September 7, 2012	Phase 5: Pilot September 8-December 31, 2012	Phase 6: Rollout January 1- June 30, 2013

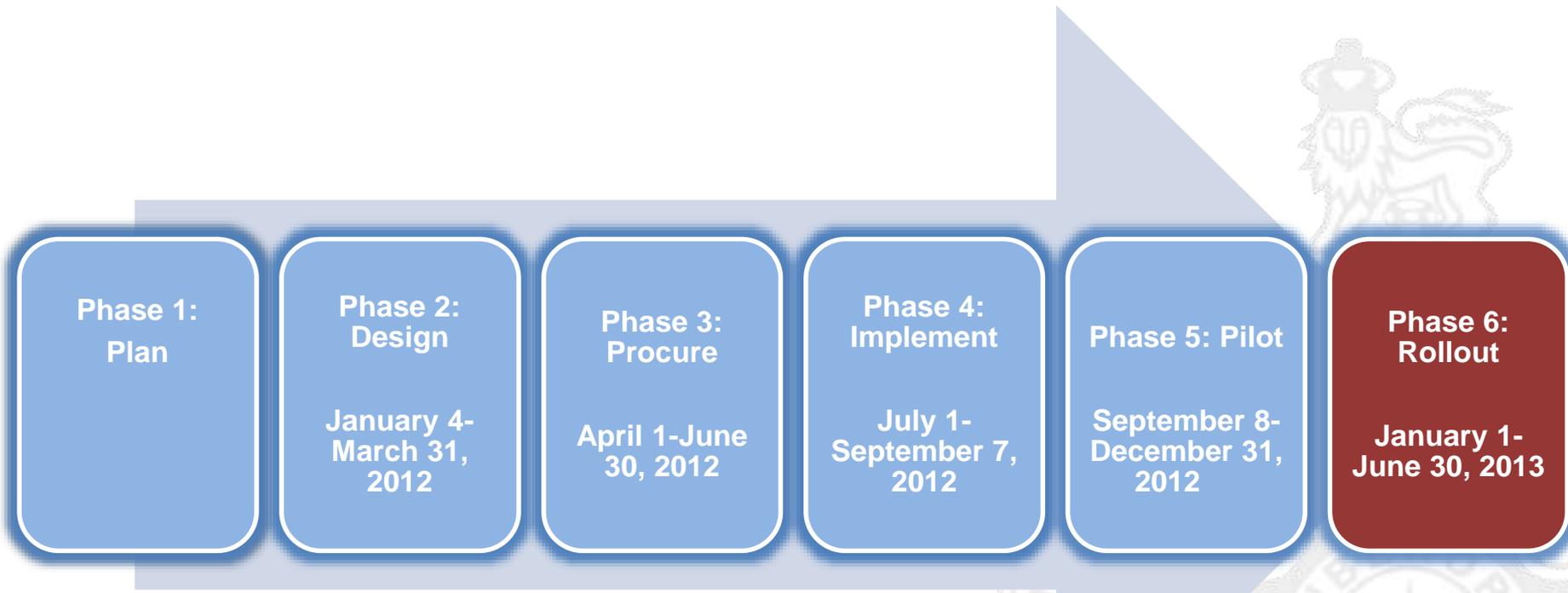# Pilot Project

- Selection based on:
  - Risk
  - Profile
  - Technology skills
- Discipline
  - Super user
  - Expanded to other staff
- LSIS linking documents
  - Useful
  - Optional

Approvals

- October 18, 2012 CEO called meeting
  - Finalize policies
  - File plan
  - Closure of shared drives
  - Security
  - Document profile
  - E-mail cap

Time Frame - Rollout

Phase 1: Plan	Phase 2: Design	Phase 3: Procure	Phase 4: Implement	Phase 5: Pilot	Phase 6: Rollout
	January 4-March 31, 2012	April 1-June 30, 2012	July 1-September 7, 2012	September 8-December 31, 2012	January 1-June 30, 2013

LSBC Show their Pride

Evolution of Shared Drives

No. of documents   Progression

The progression of documents saved in the shared drives.

1689669 Files
95.4 %

1779 Files
0.1 %

48 Files
0.0 %

99 Files
0.0 %

6209 Files
0.4 %

1596 Files
0.1 %

70049 Files
4.0 %

1 Day   1 Day - 1 Week   1 Week - 1 Month   1 Month - 6 Months   6 Months - 1 Year   1 Year - 2 Years   + 2 Years

Time

Email Filing

No. Emails — Progression

In June, 2013 we had 118,135 compared to 877 in June 2014.
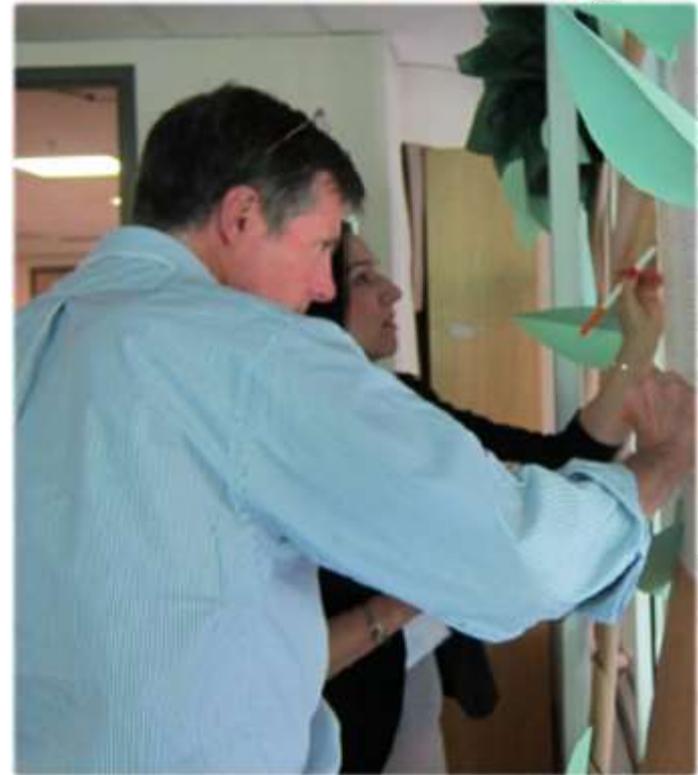
Time in Months
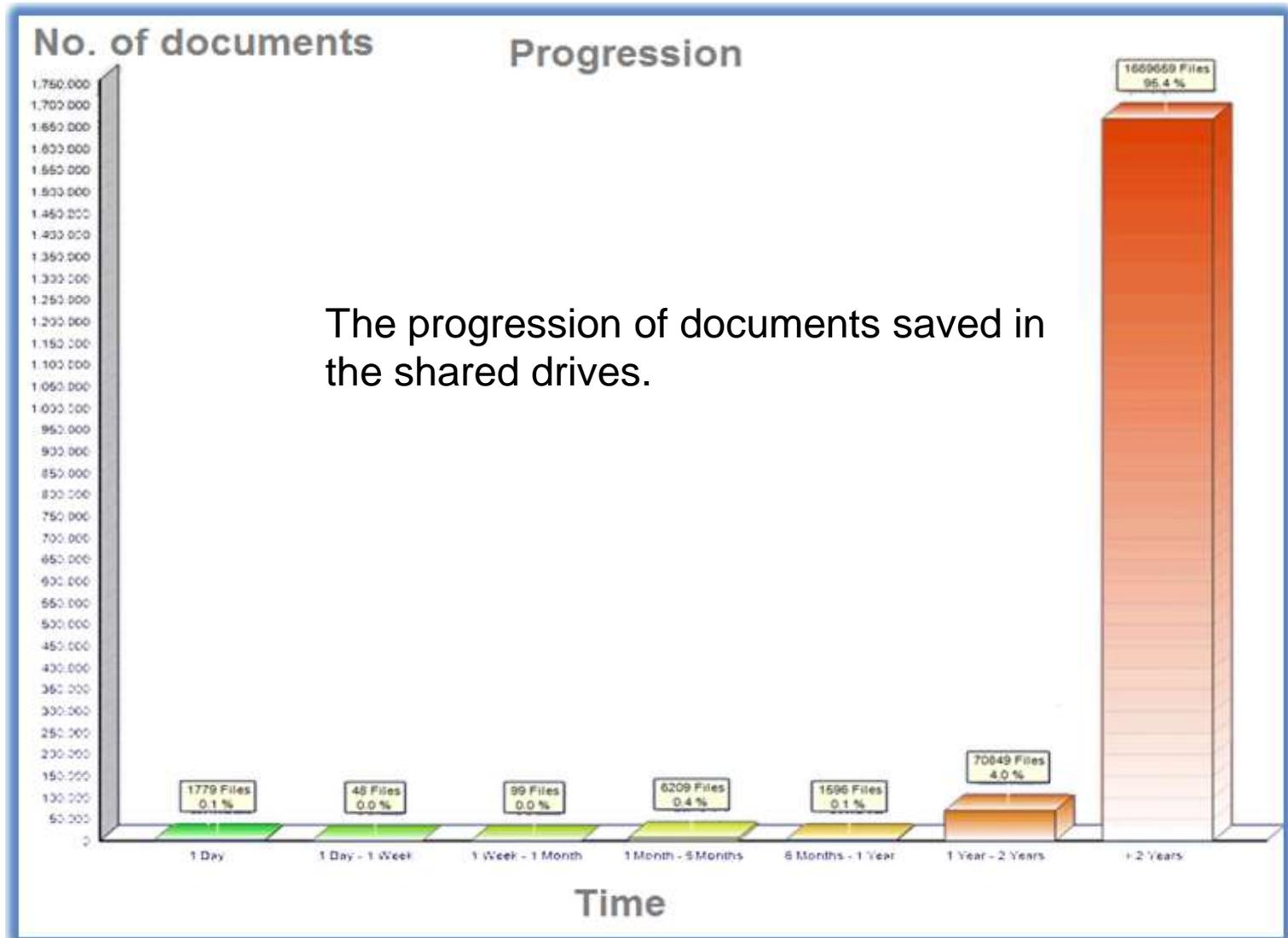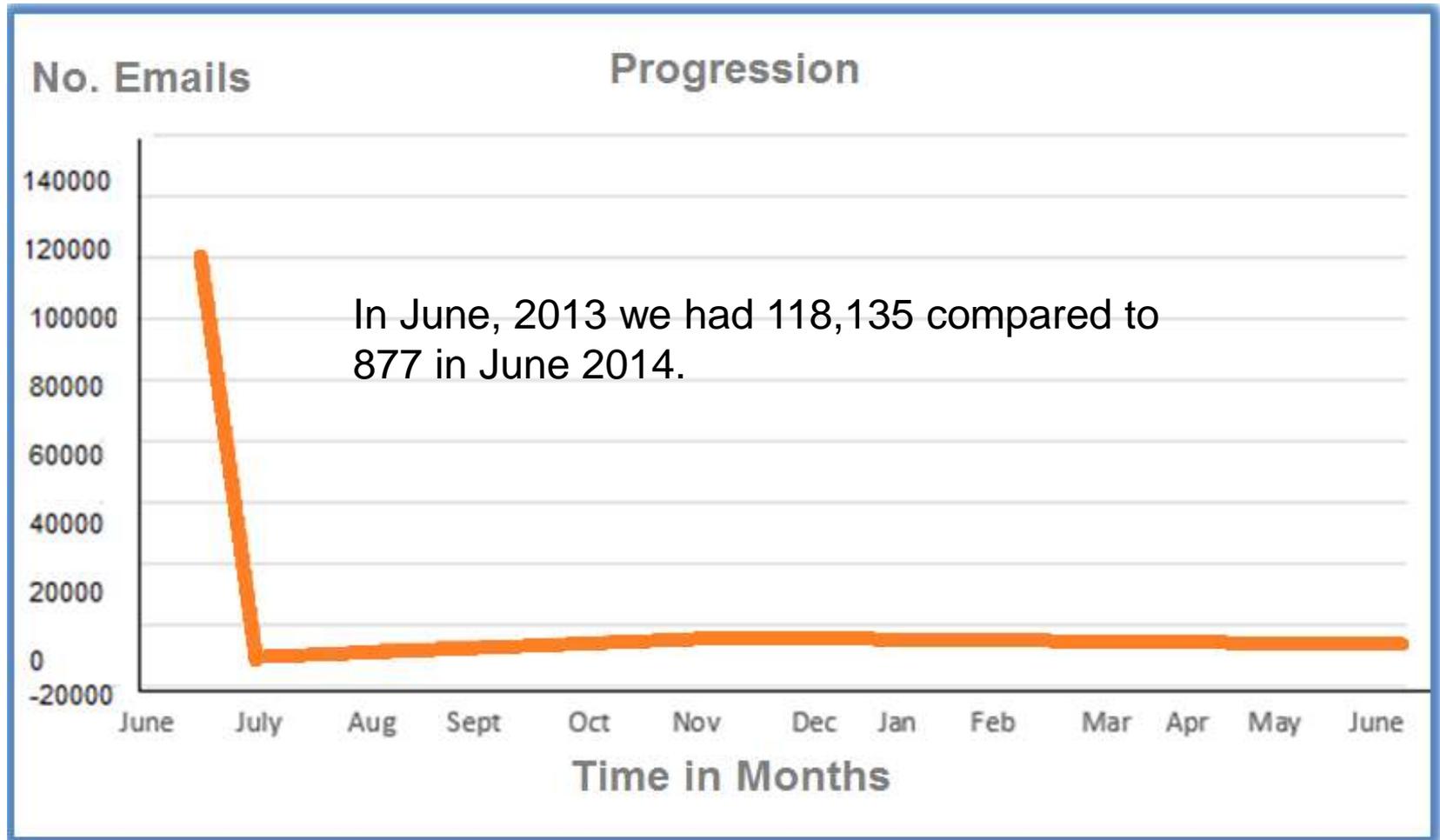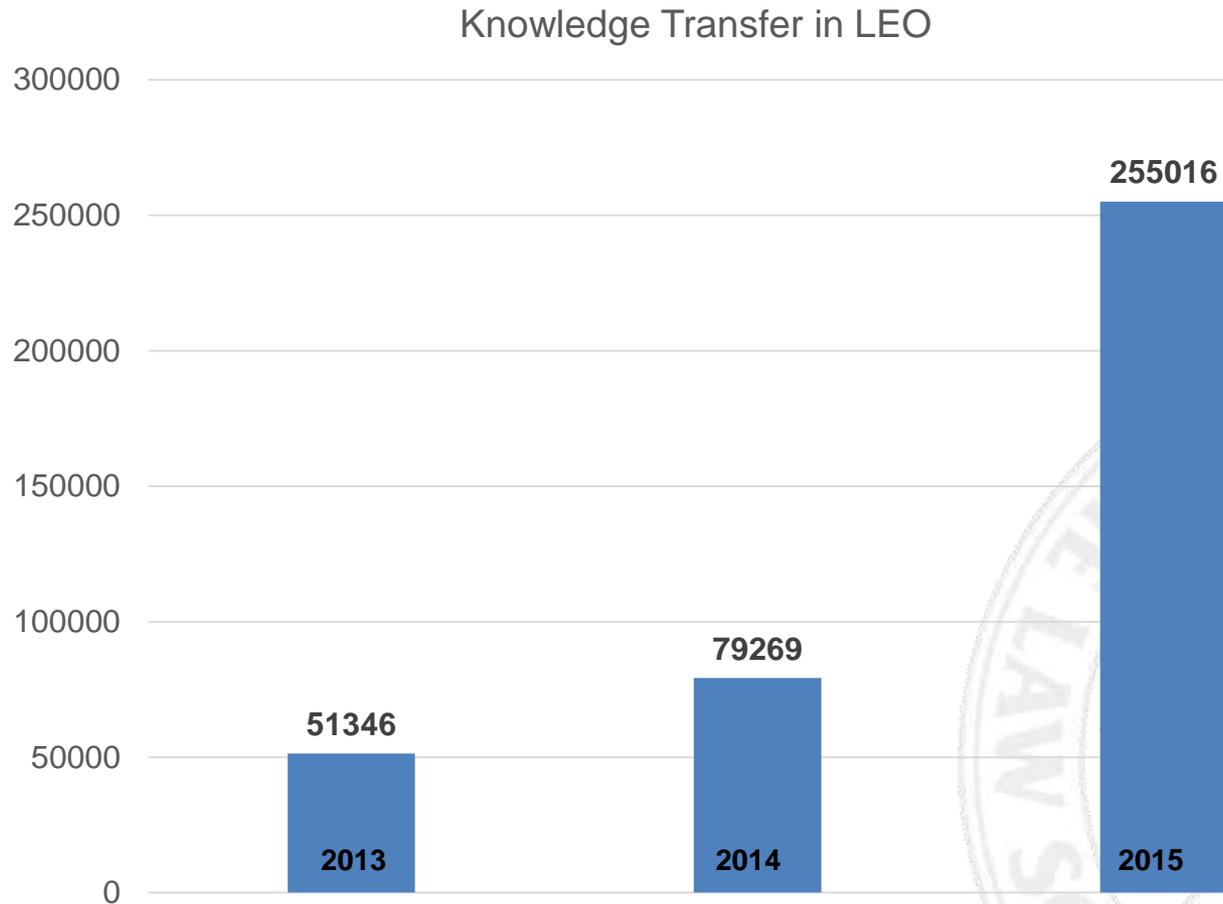
June 30 - Project Completion

Lessons Learned

- Commitment from top
- Engage the staff
- Stay focused
- Close shared drives
- IT is your ally
- Find the influencers
- Simplicity is key
- Work with the business
- Hold onto your record principles
- Ongoing training
- Recognize your strengths
- Nothing is perfect

Knowledge Transfer

Knowledge Transfer in LEO

lawsociety.bc.ca

Things we did not Expect

- Privacy endorsement of EDRMS

- Legal holds – RIM role

- Computer Literacy working group

- Knowledge management working group

What's next?

Vision

Because of Leo, every Law Society employee will play a role in managing and protecting our information – one of our most important assets – and will be empowered to access information and work collaboratively using best practices, all of which will enhance the employment experience and our ability as regulators.

- Test modules
- LSIS
- Business analysis
- Scanning pilot
- Documents as records
- Continued training
- Digital archiving

Thank you

Questions

Feedback

Comments

References

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