Electronic Records Management

SCEG
MAY 14, 2012
EXHIBIT 5

RECOMMENDATION

SITSD is recommending a study bill be introduced into the next legislature to ensure that that the state identifies the best solution based on the requirements within the scope of the records and content management program. The goal of the solution is to provide a stable and reliable information technology foundation to ensure innovative records management collection, retention and preservation processes are available to Montana while maintaining appropriate security and cost controls. This recommendation is consistent with the Secretary of State *Montana Electronic Records Initiative* Strategic Directions to "Engage the Legislature" and "Manage Resources Efficiently and Effectively".

COMPLEXITY

Electronic Records Management has many complex requirements. Each requirement must be fully identified, documented, and understood to ensure that the features and functions of the system meet State's needs. The questions below illustrate some examples of the complexity:

- What is and is not considered a record?
- What types of records will the system be required to manage?
- Will electronic records management include management of physical records?
- Will scanning capabilities be required to transition physical records to electronic?
- Will the entire lifecycle of a record be managed within the solution?
- Are automated retention / destruction controls needed to manage record growth?
- Will automated workflow processes be included for management of records?
- How will the system ensure that records can be viewed with changes in technology?
- How will the system interface with other systems such as email, websites, etc.?

FUNDING

As the scope increases, so does the cost of implementing and maintaining the system. The required features and functions will also increase these costs. There could also be a substantial cost in transitioning physical records into electronic records. The scope along with the required features and functions must be identified before an estimation of costs can be provided.

CROSS AGENCY AND JURISDICTIONAL INVOLVEMENT

To obtain the best economies of scale, the State may need to look to partnering with other state, county and local governments. However, this approach may require further research and action in meeting differing needs and requirements, dealing with perceived control of stored records, and handling compatibility and interfaces issues to the various information systems.

Montana Electronic Records Initiative
Strategic Plan
2008 ~ 2016

Electronic Records and Information Management
for the
State of Montana

Prepared and adopted by the
Electronic Records and Information Management
Steering Committee
September 2008

Planning for
Montana Electronic Records Initiative

This document forms the planning framework for *Montana Electronic Records Initiative* to achieve its vision.

Strategic Plan
Montana Electronic Records Initiative's Strategic Plan describes the direction Montana will follow to ensure the State achieves its vision for who we are serving.

Tactical Plan
The Tactical Plan is a summary of the key initiatives and action items being addressed over the next eight to 10 years. Its purpose is to identify and promote strategies essential to achieving the objectives of *Montana Electronic Records Initiative*.

Executive Planning and Budget
The Executive Planning and Budget is produced biannually and details activities and services that *Montana Electronic Records Initiative* will bring to the Governor and the Legislature. It describes high level resource allocations to demonstrate how strategies and initiatives in the Tactical Plan are realized.

Branches and Agencies Plans
Branch and Agency plans are detailed plans that specify the activities *Montana Electronic Records Initiative* undertakes and outline the responsibility of each branch or agency for delivering those activities.

Reporting
Reporting is an important component of *Montana Electronic Records Initiative's* planning framework and is central to *Montana Electronic Records Initiative's* commitment to strong and transparent accountability.

Montana Electronic Records Initiative
Strategic Plan

The following mission, values and directions, as applied to serving the State of Montana, are part of the strategic plan for *Montana Electronic Records Initiative.* These principles guide all activities within *Montana Electronic Records Initiative* and set forth the framework and context for the Tactical Planning.

MISSION STATEMENT:
The Electronic Records and Information Management Steering Committee serves the State of Montana in the adoption and recommended implementation of an electronic records and information management (eRIM) strategy, supported by the records management, legal, information technology, business and preservation communities, to support public access; balanced with right to know and right to privacy; to create a framework for managing state and local government public records.

VISION STATEMENT
Propose recommendations in the area of records and information management; collaborating with the legal, information technology, preservation and business communities, which will balance the public's right to know and right to privacy interests.

Stewardship – *Montana Electronic Records Initiative* values and is committed to access and participation by the citizens of Montana, in all forms of their government, consistent with the people's right to know and right to privacy; through the collection, retention and preservation of all forms of records. It is central to our principle objective of sustainability for records management by and for the people of Montana. *Montana Electronic Records Initiative* aims to provide a positive legacy to future Montana generations.

Professional Integrity – *Montana Electronic Records Initiative* values credibility and accuracy in the collection, retention and preservation of all forms of Montana's records. Through this we gain the trust and respect of others.

Public Services – *Montana Electronic Records Initiative* recognizes that state and local government, and their agencies, value management of records and information for the sole benefit of the people of Montana; protecting their right to know and their right to privacy.

Innovation – *Montana Electronic Records Initiative* values new ideas and encourages change. Bold and creative approaches to certifying records and preservation processes are essential. Improved business models will provide cost effectiveness.

Strategic Direction: *Montana Electronic Records Initiative* will:

- Develop governmental partnerships that increase community engagement, education, support and outreach for records and information management
- Engage the Legislature
- Create and deliver professional records management experiences for the citizens of Montana
- Manage resources and services efficiently and effectively

Montana Electronic Records Initiative

Tactical Planning

Develop partnerships between branches and agencies that increase records management community engagement, education, support and outreach

Our objective is to:

- Increase branch and agency records management community, involvement, partnership and support;
- Raise the profile of records management awareness inside and outside of government as well as with the media;
- Determine a long-term governance structure

Montana Electronic Records Initiative's success in delivering records management for the citizens of Montana is made possible through a network of partnerships between branches and agencies. Partnerships will support *Montana Electronic Records Initiative* activities through providing collaboration opportunities, advice and expertise, and financial and professional support. The partnerships *Montana Electronic Records Initiative* fosters enable Montana to deliver on its constitutional promise to various constituents by sharing knowledge and meeting community needs.

Key Initiatives

1. Education Strategy – *Montana Electronic Records Initiative's* role in educating, particularly through its partnerships between branches and agencies, needs to be broadened. *Montana Electronic Records Initiative* continues to build on the successes of the records management committee. The strategy will provide opportunity to develop both formal education programs for public sector employees and informal programs for the general public.
    - Action Items –

2. On-Line Strategy – *Montana Electronic Records Initiative's* online strategy brings records management an up-to-date online presence by presenting an innovative website to promote effective and efficient best practices for records management. The online strategy aligns *Montana Electronic Records Initiative* with the e-Government strategic direction for Montana. It will also support *Montana Electronic Records Initiative* strategies, business plans, legislative initiatives, rules development and project development miles stones.
    - Action Items -

3. Persons with Disability Action Plan – *Montana Electronic Records Initiative* needs to develop an action plan for persons with disabilities to be able to access records. Records must be available to all citizens of the state. Opportunities for consultation and involvement must be sought to develop greater staff awareness, improve access to information and records, ensure the accessibility of programs and services, and in some cases make recommendations to improve the physical access to buildings and facilities.
    - Action Items to be defined

4. Marketing and Communications Plan – *Montana Electronic Records Initiative* determines the work to be undertaken to build a positive profile for records management with employees, citizens, and the media. The Marketing and Communication Plan raises *Montana Electronic Records Initiative* profile by presenting records management as a cohesive and coherent effort. It will maintain and grow a consistent level of media exposure and maintain effective issues management procedures to ensure *Montana Electronic Records Initiative's* reputation and effort is not compromised. A communication plan *Montana Electronic Records Initiative* profile.
    - Action Items to be defined

5. Governance – *Montana Electronic Records Initiative* implementation requires focused governance at the strategic, policy, and tactical levels. The governance structure specific to *Montana Electronic Records Initiative* must work effectively with the existing state and local entities responsible for records management, legal, information technology, and business and preservation activities.
    - Action Items to be defined

Engage the Legislature

Our objective is to:

- Engage the legislature in meaningful action to support the long-term viability of records management in Montana;

Montana Electronic Records Initiative reaches out and contributes to the lives of Montanans now and in the future in ways that will have a profound effect on the state as a whole. *Montana Electronic Records Initiative* ensures that Montanans are able to learn and contemplate issues about the future by awareness of what is at hand in the present.

Key Initiatives

1. Legislative Strategy – *Montana Electronic Records Initiative's* legislative strategy primary function is to develop strategies to improve all aspects of *Montana Electronic Records Initiative's* dealings and relationships with the legislature. The legislative strategy must emphasize *Montana Electronic Records Initiative*'s long-term, multi-biennial nature and the need for continued support of implementation over the next eight to ten years.
    - Action Items to be defined

Create and deliver positive records management experiences for the citizens of Montana; both public and private

Our objective is to:

- Create a customer service strategy in order for *Montana Electronic Records Initiative* to meet and exceed customer expectations within the scope and parameters of an agency's responsibilities.

Montana Electronic Records Initiative aims to provide users of records management a professional experience that keeps their expectations positive long after their requests have been filled.

Key Initiatives

1. Customer Service Strategy – Develop guidelines for customer service delivery throughout government. This will result in clear communication of *Montana Electronic Records Initiative's* commitment to customer service and consistent standards of internal and external customer service.
    - Action Items to be defined

Manage Resources Efficiently and Effectively

Our objective is to:

- Develop an organizational structure and infrastructure that supports staff in achieving *Montana Electronic Records Initiative* objectives;
- Improve records management and information management systems;
- Use sound financial and risk management practices;
- Augment financial growth through grants, private-public partnerships and long-term capital development
- Support records management by balancing the constitutional right of privacy and the right to know to benefit the people of Montana.

Montana Electronic Records Initiative assumes a prudent approach to the management of its resources and assets. *Montana Electronic Records Initiative* aims to take precautions to ensure budgetary viability, identify and mitigate risks, improve infrastructure to create a sustainable effort, and seek innovative ways to fund records management long-term.

Key Initiatives

1. Financial Management and Growth – Prudent management of *Montana Electronic Records Initiative's* resources is integral to ensuring a sustainable future. Over the next biennium a Financial Management and Growth Strategy needs to be developed to maximize the opportunities from grants, private-public partnerships and legislative appropriations.
    - Action Items to be defined

2. Capital Development – Buildings and facilities that house records will be maintained and managed in a manner that provides the most effective results for long-term preservation. A 25-Year asset maintenance plan will be developed to determine annual maintenance and preservation needs.
    - Action Items to be defined

3. Information Technology Plan – *Montana Electronic Records Initiative* needs to have both a stable and reliable information technology foundation to ensure innovative records management collection, retention and preservation processes are available to Montana while maintaining appropriate security and cost controls. In the next eight to ten years a new portfolio of records management applications will be introduced into the *Montana Electronic Records Initiative* effort. Development of a records management IT plan will guide decisions about what information technologies will be used and how they will be employed and serve to shape the technology decisions that are made in realizing the *Montana Electronic Records Initiative* vision.
    - Action Items to be defined

4. Information Management – *Montana Electronic Records Initiative* will effectively manage the lifecycle of information, as is it citizen responsibility. Implementing an effective and user-friendly information system for collection and retention will also include preservation and enhanced access and protection of records.
    - Action Items to be defined

5. Project Management – *Montana Electronic Records Initiative* will employ project management best practices to manage in the most cost effective and efficient manner. Project management will provide a positive return on investment, customer satisfaction and project risk mitigation.
    - Action Items to be defined

6. Public Private Partnerships – *Montana Electronic Records Initiative* will explore the development of public private partnership with vendors.
    - Action Items to be defined

7. Environmental Management – Environmental Management will be a priority for *Montana Electronic Records Initiative* with investigation into ways to reduce energy consumption, access green products and power, and reduce waste in paper and other records media.
    - Action Items to be defined