



Consulting Report

Town of Prescott Valley Document/Records Assessment

Submitted: May 2012

Presented by DocUnited Imaging

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What is Records Management?

Records management, or **RM**, is the practice of maintaining the records of an organization from the time they are created up to their eventual disposal. This may include classifying, storing, securing, and destruction (or in some cases, archival preservation) of records.

A record can be either a tangible object or digital information: for example, birth certificates, medical x-rays, office documents, databases, application data, and email. Records management is primarily concerned with the evidence of an organization's activities, and is usually applied according to the value of the records rather than their physical format.

All municipalities experience challenges in maintaining their records in a manner that preserves them as appropriate, enables quick and easy access by Town officials and staff, and fulfills the obligation of transparency and access by the public.

The Town Clerk of Prescott Valley is responsible for the “official” version of many types of Town records, but there are a significant number of records where this responsibility falls to other Town departments. Typically, the more people responsible for records management, the more complicated it is to “enforce.” And, traditionally, management of retention schedules has been viewed as intimidating and time consuming by many in local government.

Management of records within the different departments for purposes of access and utilization is a challenge, as it is in most municipalities. Lack of storage space, consolidation of functions, and sharing of information between departments and with the public all contribute to the challenges. Many paper-based processes are not as efficient as desired, and there may be instances when it is difficult to obtain all information needed to make the best informed

decisions on behalf of the Town. Also, “convenience copies” of many documents are kept by multiple people/departments because sharing of the “original” is a bulky, paper-based process currently.

Another aspect of Records Management is managing the disposition of non-permanent records. At the Town of Prescott Valley, as with many other municipalities, managing the destruction or accession of documents is a challenge, especially within departments or other entities where Records Management is not the main focus.

There is a need to establish a process and procedures whereby access to valuable Town records (for staff and the public) is quick, easy, and efficient. Also, there is a need to establish a Town-wide policy and process to ensure regulatory compliance with established records retention and disposition schedules. The latter process needs to be as intuitive, streamlined and automated as possible to assist departments in participating and not adding significant time to their daily duties.

RECOMMENDATIONS:

General

DocUnited Imaging is recommending expansion of the Town’s **Laserfiche** enterprise content management software throughout the Town. Use of Laserfiche by the various departments and functional areas within the Town will help the Town fulfill its records management obligations for transparency, efficiency and reliable access to records.

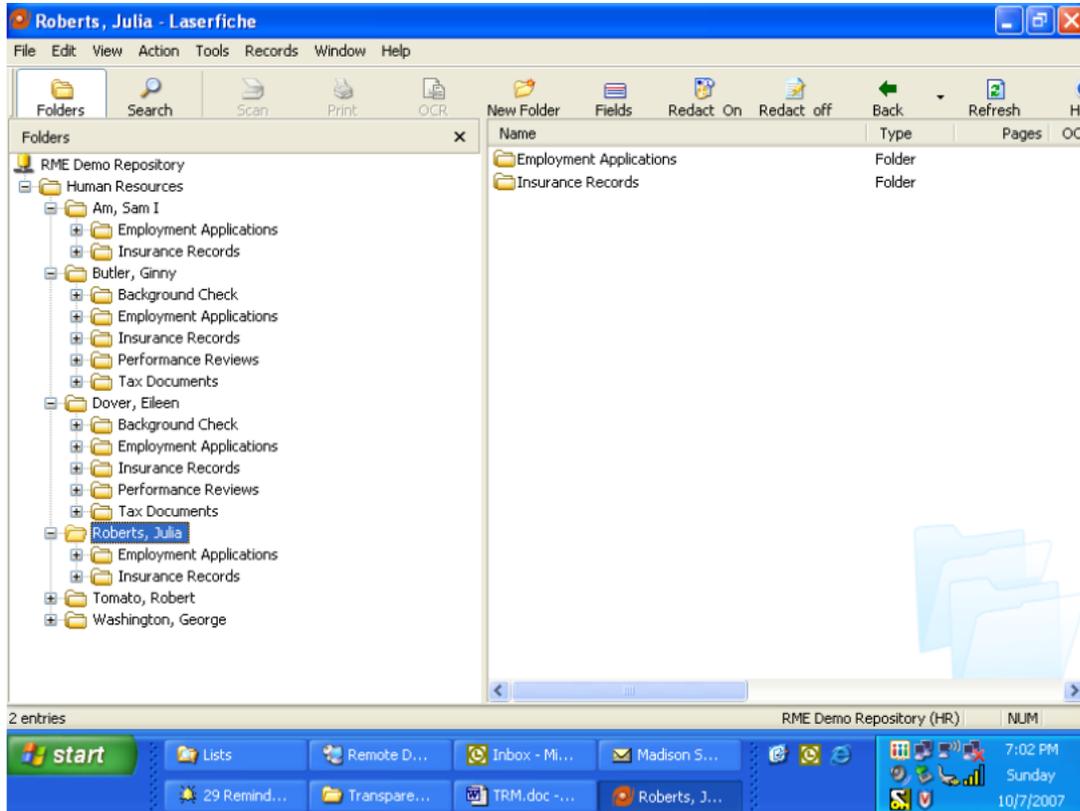
The other records management challenge – that of compliance with Records Retention Schedules – is often a more daunting task for municipalities. Laserfiche, through use of its **Department of Defense-certified Records Management Edition**, can make compliance with retention policies as painless as possible for the Town, using the concept of “Transparent Records Management.”

Transparent Records Management

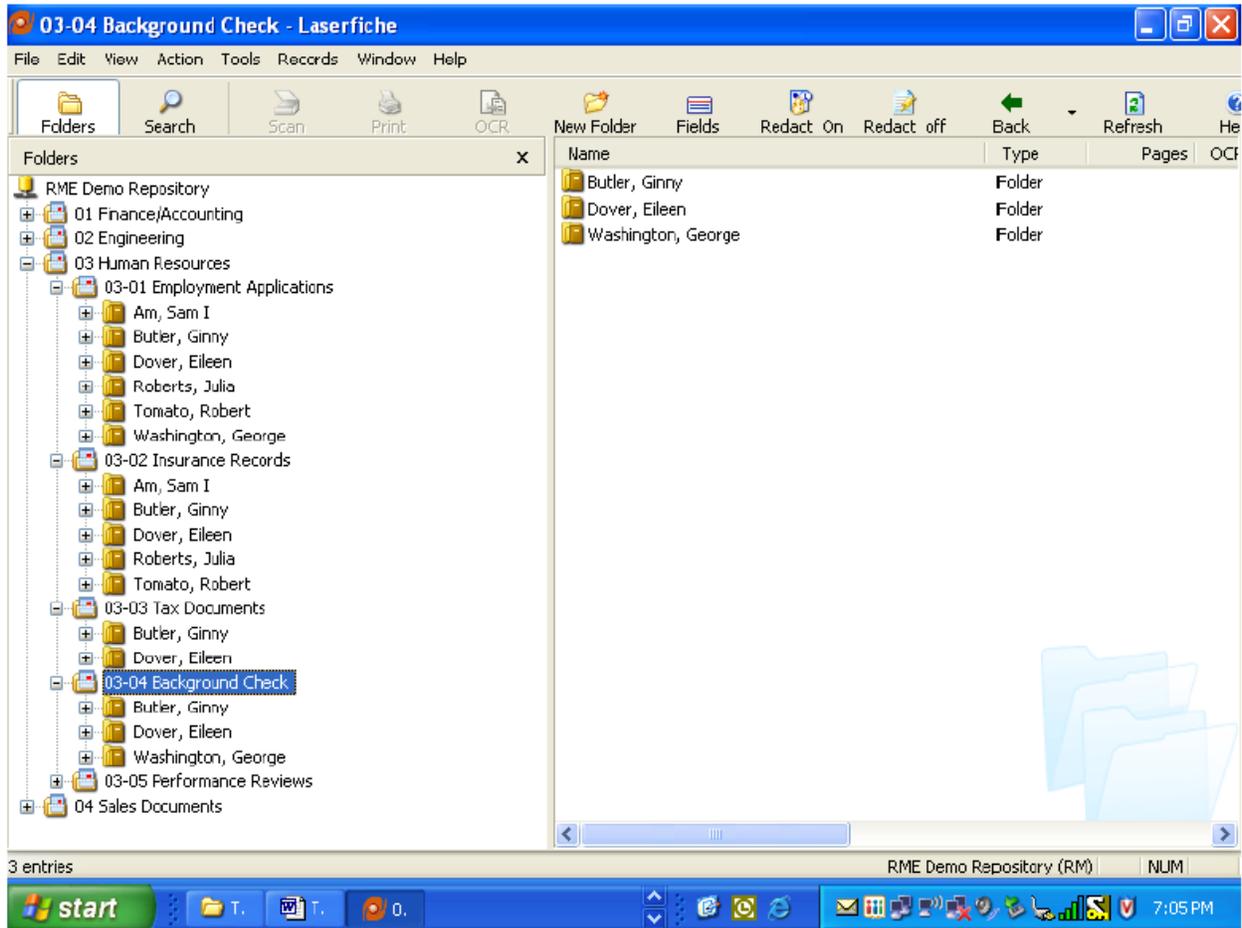
Laserfiche is one of the few document/records management systems that also has an “out-of-the-box,” fully integrated, Department of Defense-certified records management component. The Laserfiche Records Management Module is an integral part of the core architecture of Laserfiche, not 3rd party software that may not be able to grow with changes in your electronic document/records management system.

The **Laserfiche Records Management Module** enables records managers to establish and control records retention schedules and policies for documents, while enabling end users to have the quick and intuitive access to documents that they need to accomplish their everyday tasks.

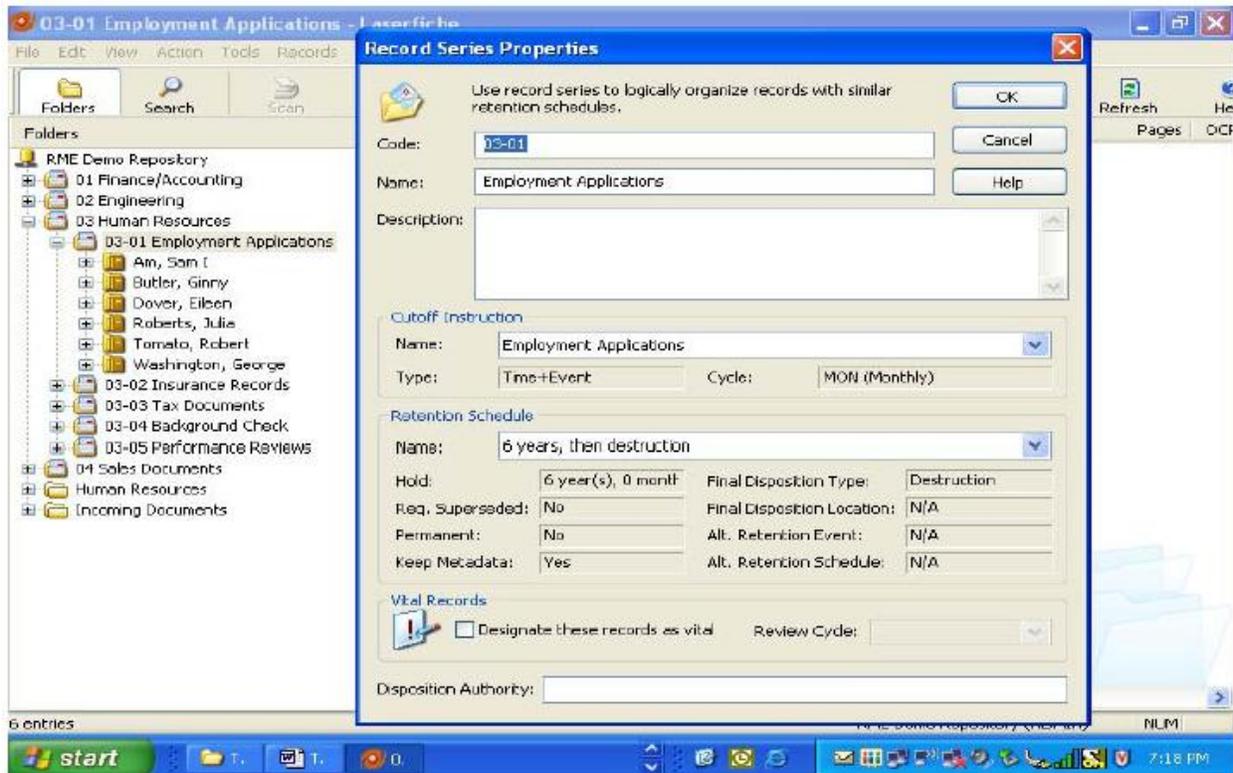
For ease of use for end users, document management typically entails creating a file structure that might be quite different than a file structure useful for a records manager. Both uses are important. This difference of use between end users and records managers can often be a source of “righteous friction” within the organization. For example, the HR Department may want all documents relating to a specific employee to be in a folder for that employee.



Conversely, a Records Manager would prefer each record series type to be together for all employees so that retention schedules can be tracked and enforced.



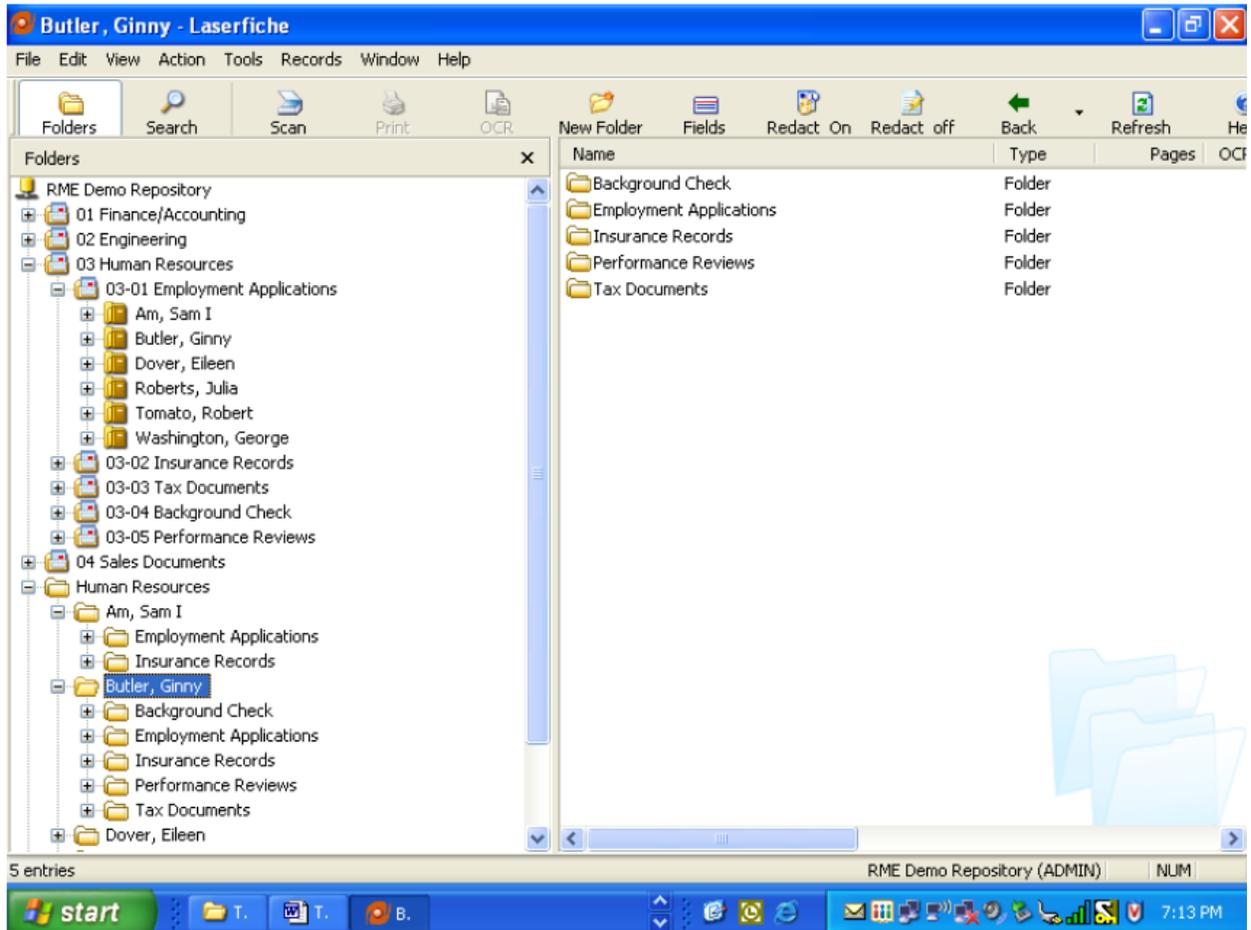
Within the Laserfiche Records Management Module, profiles are established for each record series - cutoff instructions, retention rules, final or intermediate disposition, etc.



So, how can this difference in use be reconciled without inputting 2 of each of these documents (not only very time consuming but also a very unsound records management practice!)?

Laserfiche has the answer, using its **“Transparent Records Management”** process. Using the Laserfiche Records Management Module and Laserfiche Automated Workflow, along with Laserfiche security, you can scan/import a document once and have the document be in the proper Record Series folder (for the records manager and compliance), and also have a shortcut copy appear in the end user folders. Records Managers will see what they need, and end users have what they need to do their work. When your Records Manager destroys a document at the end of its retention period, the shortcut copy in the end users’ folder will also be gone.

The screen shots shown above for both end users and Records Managers are both from the same Laserfiche database - Laserfiche security provides the users with access to see the view they need (above screen shots). An administrator who has rights to see the Records Manager view and the end user view would see the following:



Laserfiche Transparent Records Management provides the Town with a holistic approach to meet both your document and records management needs.

The exact folder structure, record series and workflows needed has yet to be determined by the Town of Prescott Valley staff. We recommend that Council approve this expansion of the Laserfiche Document Management System to meet Town Records Management requirements.