



Records Management Program High-Level Assessment

prepared for

Baltimore County Public Schools

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Preface: Destruction of Financial Disclosure Statements

The BCPS Law Office engaged IMERGE Consulting, Inc., an independent Records and Information Management (RIM) consulting firm (www.imergeconsult.com) to assess BCPS's records management practices, review the recent events related to records management concerns and formal complaints, and to provide recommendations and a roadmap for improving the RIM program at BCPS.

A RIM program controls the lifecycle of content and records according to policy in the *normal course of business*.

Given all that has transpired with Dr. Dance, destruction of the financial disclosure statements (FDS), and the procurement audit, it would have been prudent for them to be preserved until the end of the procurement audit. Hindsight is 20-20. The FDS files were destroyed in compliance with retention requirements in the Board of Education Policy #8364.

Regarding on-line FDS filing program: It was not intended to be a "storage" system but rather a fill, print, and sign form to be filed with the Ethics Board as the official record. The "missing" amended FDS that was called into question has since been provided making that file whole.

The final procurement audit by UHY stated the FDS' were available for the last four years per the RRS. The procurement audit did not list destruction of the FDS's as a finding "as they were destroyed in accordance with BCPS document retention procedures." The UHY finding for financial disclosure statements was for timely filing, not disposition.

The Law Office contacted the Maryland State Department of Education (MSDE) for guidance on records management. BCPS has, in the past, referred to the 2005 *Records Retention and Disposition Reference Manual for Public Education in Maryland* as the records management authority.

On November 30, 2018 a memo was sent to Local School Superintendents statewide transferring records responsibility from MSDE to Department of General Services (DGS) and Maryland State Archives (MSA) for review and approval of RRS. The result of that missive is that each local school system is responsible for developing their record retention schedule and submitting them for approval to DGS and MSA. Currently only seven of the twenty-four school systems have RRS's on the MSA website. ¹

Examples of School System RRS approved by MSA

Agency	Date
Baltimore County Board of Education	< 1961 4/26/1976 01/24/1977
Baltimore County Public Schools	01/02/2019 01/16/2019 01/17/2019 05/17/2019
Carroll County Public Schools	12/04/2009 03/01/2010

¹ <http://guide.msa.maryland.gov/pages/series.aspx?action=viewdetailedseries&id=se53>

Agency	Date
	03/09/2010 11/27/2017 12/01/2017
Frederick County School System	0/01/1975
Harford County Board of Education	03/28/1961 05/09/1961
Howard County Board of Education	03/07/1961 08/03/2017 09/19/2018
Howard County Public School System	07/03/2017 10/03/2017 02/16/2018 03/14/2018 03/03/2018
Montgomery Public Schools	1976
Prince George's County Public Schools	05/15/2012

The IMERGE consultants concur with the comments provided by Mr. Timothy Baker, State Archivist, on September 25, 2018, in response to the formal complaint (Sept. 24, 2018) filed with the Archives by Ms. Ann Miller, former BoE At Large Member. Like the Archives, we, too, are often only contacted and contracted when adverse matters transpire.

Conclusion:

In retrospect, it would certainly have been better if the FDS destruction had not occurred in light of the impending procurement audit. At the time of the approval, BCPS did not have a duty to preserve FDS's that had met retention. Furthermore, UHY did not request the FDS's until 102 days after the audit kickoff and 34 days after the 2nd batch of FDS's were shredded; had the request been made as part of the initial audit plan the destruction would not have taken place. Any litigation would be directed at persons filing a false or fraudulent FDS, not with BCPS. In addition, it is best practice to dispose of records within a reasonable time after the retention rule has been met, and, for records previously on -hold, as soon as a hold has been lifted, where appropriate. IMERGE does not necessarily have all the information regarding this matter; however, we cannot see how the FDS destruction benefited anyone.

On 8/21/18, the Board motion was passed requiring "all BCPS personnel to immediately cease and desist in the routine or non-routine destruction of any and all school system documents and records until the conclusion of the external procurement audit AND until further direction by the board with regard to record retention." Based on our interviews, IMERGE believes that staff are acutely aware of importance of following policy related to records retention; as a result of the destruction ban, transitory, ephemeral and outdated content is piling up especially in email but also on shared drives. **IMERGE recommends that the Ban be lifted or modified to only be applicable to those document collections still under scrutiny by the board or UHY.**

The FDS records destruction, in compliance with the Board of Education policy, **illustrates, harshly and painfully, the need for the System to formalize and fund a comprehensive records management program that applies to all content regardless of format or storage location.** Some departments and

schools have followed MSDE guidance practices for decades; it is now the time for the system to formalize the records program.

A start toward improvement has begun by the Law Office. This document provides a roadmap for moving the System from intermittent and ad-hoc management of records to formal policy and procedures which will result in the *systematic* lifecycle management of records according to the Records Retention and Disposition Schedule.

By following the roadmap herein, *all BCPS content, regardless of format or location, will be controlled throughout its lifecycle – from creation/receipt through final disposition.*

IMERGE observations regarding the destruction of the Financial Disclosure Statements.

1. Before 2018, the Law Office had updated the Records Retention and Disposition Schedule (RRS) four times on 2/18/2009, 8/25/2010, 1/26/2015, and 2/25/2016. While not submitted to the Archives; these were disseminated to staff as policy.
2. In 2018, the Law office developed six **new** records retention schedules following the guidance of the Maryland State Archives; these are completely new following the MSA guidance, not revisions.
3. The external audit completed April 9, 2019 by UHY² had findings...
 - a. for improving the timely filing of the Financial Disclosure Statements and training;
 - b. did not state a finding related to the destruction of the FDS's;
 - c. identified the need for improved documentation of business processes.

² http://www.bcps.org/board/external-audit/_UHYFinalSignedReport.pdf

Executive Summary

BCPS has carefully managed cumulative student records for decades; paper records across the remainder of the System have been managed to the retention schedule but without consistency and with guidance only when requested. There has been no central guidance for proactive records management; departments have generally followed the retention schedule for paper records on an ad-hoc basis requesting help from the Law Office if they had questions.

Staff consider digital records on shared drives and the desktop to be “their” records; they will delete content when they need the space or when they no longer need the content. Data and documents in business systems (Advantage, SIS, etc.) and SharePoint are generally considered IT’s records (they are not – IT is simply the custodian) and are not deleted by users. Departments are requesting guidance to help clean-up content, organize it for effective use and build retention into the business processes rather than ad-hoc disposition.

Beginning in 2018, the Law Office requested departments assign a records liaison so that a consistent conduit will be available to communicate records protocols and to receive guidance on records issues. The liaisons were identified and training was held in June and July of this year.

An organization of BCPS’s size and complexity will require dedicated resources – both human and financial -- to fully implement and sustain a modern *records and information management program* (RIM). It will require commitment by the Board to ensure the success of the RIM program.

IMERGE recommends the Board move forward with a complete, modern records program with as much expediency as possible.

Law Office staff who have responsibility for records management today are not trained records management professionals. They are making every effort to gain the knowledge necessary to help the System be effective. But the System needs a **full-time records management professional** to guide the creation and continuance of the RIM program. The tasks required to establish a modern RIM program are outlined in this document; but once in place, *all content* will be managed according to policy and will be dispositioned when its retention rule have been met, rather than on an ad-hoc basis.

While ramping up the records program will require a significant effort and investment there will be considerable benefits including:

- Move the System into compliance with its records management policies
- The System currently has about 80TB of business content on shared drives. 50 to 80% of this content is valueless. Cleaning-up valueless digital content will
 - Make searching for content more efficient,
 - Reduce recreating content that cannot be located
 - Reduce IT resources for storage and backup
 - Reduce time spent on open records requests
 - Reduce erroneous use of wrong versions of documents
 - Reduce duplication of content across the System
- Automate and codify manual processes increasing efficiency
- Automate and audit destruction of content that has met its retention rule

- For content controlled in a content management system, selective, search-driven application of holds (legal, audit, etc.) which suspend application of retention policy
- Digitizing student records (assuming a content management system is in place) will eliminate paper handling expenses such as file transfers between schools, boxing, storing and destroying expired files, space used by file rooms, etc. Plus, document-based student information will be accessible to everyone that needs it instantly from anywhere.

Records management has not been a priority for executive leadership and the Board in the past; it is now time to provide the leadership and funding to gain control of all content – digital content continues to grow logarithmically; therefore, the sooner control has been asserted, the sooner the System will realize the benefits.

Study Purpose

IMERGE Consulting, Inc. was engaged to provide a high-level assessment of BCPS's records management (RM) practices and the new training developed by the Law Office. The study was conducted in July 2019. While the FDS issue was one trigger to initiate this long overdue effort, it solidifies the value of a well-defined and managed RM program that controls records and content from creation through final disposition. The purpose of this study is to provide a roadmap for moving records and content management from loosely controlled practices to a complete, modern, records management *program*. Programs exist until no longer needed – in the case of a records management program, it will exist for the life of the System.

While past records practices were focused on physical records, a new program must focus on *all* records regardless of format or storage location. This preliminary assessment will lead to more in-depth- analysis to refine the roadmap and assign cost ranges to the efforts so that the Board may allocate the appropriate budget. This report provides the high-level assessment and roadmap for the System to move forward.

Records and Information Programs Defined

Records and Information Management (RIM) programs are aimed at reducing information risks and costs while maximizing information value. Effectively, RIM programs are about making available “the right information to the right people at the right time”.

The International Standard for Records and Information Management ISO 15489-1³ defines RIM programs as

“...responsible for the efficient and systematic control of the creation, receipt, maintenance, use, and disposition of records, including processes for capturing and maintaining evidence of, and information about, business activities and transactions in the form of records”.

RIM programs improve **information quality** which:

1. Promotes operational excellence
2. Reduces information risk by securing confidential and sensitive information
3. Improves compliance capabilities by providing faster access to more accurate information
4. Improves knowledge worker productivity by eliminating redundant, outdated and trivial content providing faster, more accurate, and focused searches
5. Improves decision-making by eliminating duplication and old versions of information and making current information findable
6. Preserves organizational memory

³ ISO 15849 Information and Documentation - Records Management <https://bit.ly/2P9W6aL>

7. Codifies processes for consistency and as a hedge against turnover and retirement of valuable employees
8. Reduces IT costs for storage and backup
9. Enhances disaster recovery by improving restore times, and
10. Reduces the time and cost required to fulfill Public Records Requests

RIM programs are cross-functional in nature and necessarily interact with key disciplines including information security, information risk, compliance, data governance, law, and more. RIM programs have broader benefits as they become embedded in business process. This means that RIM requires strong and committed executive sponsor. **The Board and Executive Management** must commit fully to your RIM program, which must be embedded in the BCPS culture and business processes. Implementing the RIM program will require a three-pronged approach to improve people, processes, and technologies:

1. Significant redesign of routine information-handling business processes must be initiated and completed in close consultation with end users
2. Training and communications, including change management, must be emphasized
3. New RIM-enabling information technologies will need to be procured and implemented

It is increasingly important to understand BCPS's compliance responsibilities to prevent or mitigate the risk of fines, litigation or civil actions. A component of the RIM program will be procedures to regularly monitor the management of BCPS records in conformance with Federal and State regulations, business and operational needs, and best practices. Compliance needs to be verified through defined procedures including audit standards.

The use of Content Services software (see page 25) codifies policy and procedures in processes for capture, assigning metadata and routing. Once codified, actions are always performed following the same business rules and processes execute according to those rules. Building RIM into business processes using pre-defined business rules (classification, retention schedule, security classifications, etc.) that have been formally approved eliminates day-to-day RIM decisions by information creators/receivers. If BCPS deploys Content Services technologies, then content in digital repositories will have lifecycle management rules incorporated into its design; dispositioning becomes a task for RIM staff. The same rules will apply to content in Office 365, SharePoint, and Enterprise Content Management system, etc., if they have been properly configured.

BCPS needs to regularly assess the effectiveness and efficiency of their RIM program, including systems and processes, to ensure that they are satisfactory and meet user needs. Building assessment into internal audit rules is a best practice.

Methodology

IMERGE conducted a high-level assessment of the BCPS records management practices. The following tasks were completed:

1. Audited record liaison training and provided feedback to RM Team

2. Interviewed records liaisons who attended the June training and provided feedback to Law Office
 - a. Facilities and Logistics staff (records storage)
 - b. Administrative Services
 - c. Organizational Development
 - d. Recruitment and Staffing
 - e. Office of Internal Audit
3. Conducted 19 interviews
 - a. Board of Education Office
 - b. Superintendent's Office
 - c. School Climate and Safety
 - d. Organizational Effectiveness
 - e. Teacher Development
 - f. Communications and Outreach
 - g. Curriculum and Instruction
 - i. Academics
 - ii. Academic Services
 - iii. Educational Options
 - h. Three principals
 - i. Community Superintendent, west
 - j. Sparrows Point High School records coordinator
 - k. Law Office and records staff
 - l. Information Technology
 - m. Office of Communications
 - n. Department of Organizational Effectiveness
 - o. Fiscal Services
 - p. Logistics
 - q. Facilities
 - r. State Archivist
4. Developed Findings Report and Roadmap

Staff interviewed were excited by the potential to clean-up their files and to have guidance on better methods of managing content.

Summary of Findings

BCPS's records management program is decentralized and has been primarily focused on managing physical records. Recent events highlight the importance of improved knowledge of records management and a more robust program at BCPS. At the current time, RIM responsibility is distributed throughout BCPS; in 2018, the Law Office requested each administrative department and schools to name a records liaison. Training was held in June and July for the records liaisons; a good beginning for gaining control of content. The RIM Team in the Law Office has minimal records management experience. They have been researching records management and attending external training events, (e.g. NAGARA).

Our interviews indicate a broad desire by staff to clean-up existing content, to standardize naming conventions, and to leverage technology to improve processes and management of records.

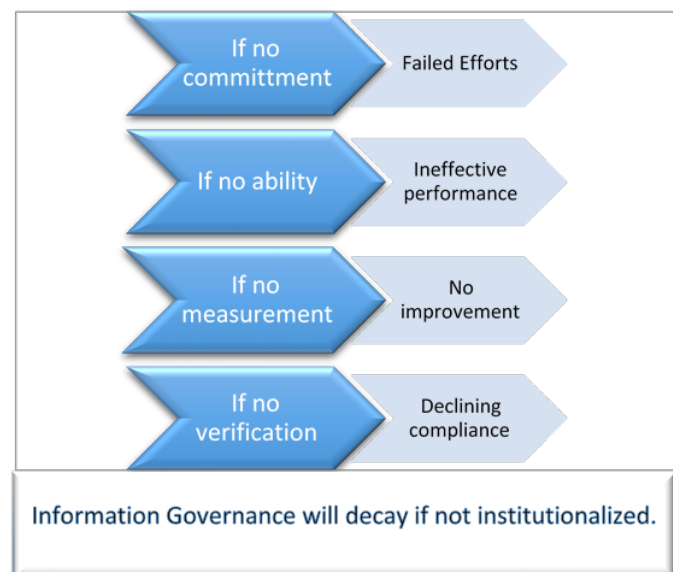
(Technology discussion may be found beginning on Page 25.)

RIM practices have not been a priority. The RIM Team is predominately focused on developing the records retention schedules and providing training on managing records and information. It's a beginning but much more is required to improve the management of information and records across the System. Improving RIM practices will require a cross functional approach to develop an effective RIM program. Without a fully funded and supported program BCPS runs the risk of program failure or ineffectiveness due to inertia.

Risk of Inertia

To head off inertia, BCPS must commit to a progressive responsibility philosophy, prioritizing implementation activities, and monitoring success. By placing an emphasis on resource allocation and accountability, BCPS will be assured of a successful program.

- Staff unwillingness to cooperate.
- Lack of adequate monitoring and/or tracking of compliance.
- Ineffective and belated intervention when weaknesses are identified.
- A general sense of a self-fulfilling prophecy (e.g. here is another program destined to fail)



Findings Detail

The following sections detail records management practices and program development accomplishments to date.

Current Records Retention Program

Disposition

- Standardized disposition processes have been established in areas of BCPS
 - Cumulative Student Records are managed using defined policy by the records liaisons at each school
 - Schools send records that have met retention to Logistics for shredding each summer.
 - Accounting and other central offices send records, with destruction dates indicated on the box, to Logistics
- Logistics/Facilities shred records in their custody following the destruction information written on the box on a periodic basis
- Retention and disposition guidance were provided as on -the -job training

Records Retention Schedule

- The existing RRS (02/25/2016) are comprehensive but are organizational in format. This method results in duplication of record types and retention requirements
- The Law Office has initiated a project to revise the Records Retention Schedule (RRS)
- The Law Office received guidance from the Maryland State Archives
- The guidance provided is designed for the Archives and librarians, not for managing records
- Best practices recommend a functional RRS based on the activities and transactions of the System as outlined in the International Standard for Records and Information Management ISO 15489

Established Records Liaison network

- Staff do not have the RIM skills, technology or tools to meet the requirements
- They will require hands on assistance to change business processes
- Records liaisons not in a management position most likely do not have the authority to implement RIM

Provided training for Records Liaisons

- The training was well presented and covered the basics of RIM
- Staff attending the training were engaged and want to do the right thing

Policies

- Policies and Rules are available on the BCPS website
- Policies and rules include some RIM requirements which need to be included in the revision of the RRS

Policy 4008 Board Data Governance - Data security and custodianship. Establishes a Data Governance Committee and Data Stewards responsibilities

IMERGE comments:

- Data by definitions includes records, but records management is still perceived as applying only to physical records
- Records management and data governance need to be brought under one umbrella
- Records liaisons and data stewards should be the same individual in departments

Policy 4104 Technology Acceptable Use Policy (TAUP) for Authorizes Users – defines standards for technology use

Rule 4104 Technology Acceptable Use Policy (TAUP) for Employees and Approved Non-Employees – guidelines to implement Policy 4104

Policy 8364 Ethics Code Financial Disclosure Statements – policy for filing Financial Disclosure Statements

IMERGE comment:

- Section VI identifies the retention requirement of four (4) years from date of receipt.

Rule 2380 Records Retention - Retention standards and procedures

IMERGE comments:

- There is no Policy for RIM
- Retention and disposition apply to all data, information and records
- Section IV 3. States “records not expressly listed in the RRS the retention period shall be four years...” therefore:
 - RRS must be System wide and ensure all record types are included that need to be retained longer than four years
 - The requirements need to be evaluated for how they can be implemented in the business process, whether manual, automated or in business systems.
- BCPS has current internal RRS that have been updated on a regular basis 2/18/2009, 8/25/2010, 1/26/2015, and 2/25/2016

Curriculum Instruction All Offices
Digital Learning
Social Studies Charter Schools
Special Education
Title-I
Accounting
Business Management Planning
Enterprise Applications
Food Services
Logistics
Payroll
Physical Facilities
Purchasing
Transportation

Recommendations to Expand RIM Responsibilities

1. Develop RIM program for lifecycle management
 - a. Develop or revise RIM policies and rules
 - b. Revise records retention schedule (RRS) to include all records (initiative underway)
 - c. Develop file structures, taxonomy, and metadata models
 - d. Map RRS to new file structures
 - e. Develop program oversight, monitoring, and auditing
2. Formalize RIM Staffing and Improve Capabilities
 - a. Hire or assign staff member for RIM role and assign responsibilities
 - b. Analyze RIM capabilities for employees, including RM Team, Record Liaisons and Information Technology/Data Governance
 - c. Include RIM in Data Governance and other steering committees
 - d. Improve RIM staff skills and capabilities to manage physical and digital records (structured and unstructured) through training and other types of skills development
3. Manage collections of records and information
 - a. Develop strategies and plans to manage legacy and orphaned records
 - i. Appraise unmanaged collections of physical records
 - ii. Develop defensible disposition process for all records off-site and obsolete records

- iii. Analyze shared drives; apply retention rules and dispose of redundant, outdated and trivial (ROT) content, an estimated 45 to 70% of retained electronic records
 - b. Develop disposition processes and procedures for timely disposition of records
 - c. Develop plans for protection of long-term digital records
- 4. Communication, education and training (See Appendix A)
 - a. Develop plans to communicate RIM to the organization
 - b. Develop training materials and courses
 - c. Provide training and education to staff
- 5. Technology planning
 - a. Gather requirements for technology and tools
 - b. Develop clean-up and migration strategy for shared drives
 - c. Develop implementation and deployment plans

BCPS Roadmap Priorities

The Roadmap below shows the RIM program priorities across a three-year time period. Depending on available resources, the timeline may shift but the timeframes are realistic. Additional detail may be found throughout this report.

Roadmap Priorities	2019/2020	2020/2021	2021/2022
Communications/Training			
Develop RIM Program			
Rules and Procedures			
RM Toolkits			
Functional RRS			
File Structures			
Program Management and Oversight			
Staffing and Capabilities			
Assign RIM Responsibilities			
Analyze RIM Capabilities			
Governance Committee			
Improve skill sets			
Manage Records Collections			
Appraise and Analyze Collections			
Develop Defensible Disposition Process			
ROT and File Clean Up and Disposition			
Long Term Preservation Plan			
Training and Communications			
Communication Plan			
Training Plan			
Technology Planning			
Gather Requirements			
Acquisition Process			
Governance			

RIM Program Maturity Assessment

Recent events highlighted the need for improved knowledge of records management and a more robust RIM program at BCPS. BCPS' records management program is decentralized and has been primarily focused on managing physical records; RIM needs to focus on ALL records, in all formats regardless of storage location or system.

IMERGE has included an assessment of BCPS' practices using a modified maturity model based on the Generally Accepted Recordkeeping Principles® (referred to as GARP or The Principles®) developed by ARMA International.

BCPS RATES AN OVERALL RIM MATURITY SCORE OF 2 (IN DEVELOPMENT) ON A SCALE OF 1-5, ESPECIALLY FOR MANAGEMENT OF DIGITAL CONTENT.

The maturity assessment on the following pages, includes actions needed to improve the program –a roadmap to improve scores which shows continuous improvement over time. Completing a GARP assessment yearly will gauge the effectiveness of improvements to the RIM program.

IMERGE has used the Principles® for dozens of clients; private and public, large and small. The **average maturity score is 2.0: In Development.** Only one client scored a 3.0 - a large automobile manufacturer with 89,000 employees and dedicated records management staff. The remaining client scores ranged from 1.4 to 2.4.

Generally Accepted Recordkeeping Principles Maturity Model⁴

The principles of Information Governance (IG) and Records Management known as the Generally Accepted Recordkeeping Principles, were developed as a benchmark to measure an organization's maturity level on RIM practices for **all records -- paper and electronic**. The Principles were developed by the International Association of Records Management Professionals (ARMA) and have been used as a baseline for tracking progress in the implementation and compliance effectiveness of an organization's RIM program.

The Principles were created by ARMA in 2009 as a combined effort with legal and IT professionals to describe and recognize characteristics of an effective RIM program. They are based on best practices suggested by ISO 15489-1 and mandated by case law. The Principles are an accountability framework that "includes the processes, roles, standards, and metrics that ensure the effective and efficient use of information in enabling an organization to achieve its goals".⁵

⁴ Generally Accepted Recordkeeping Principles®. © 2017 ARMA International, www.arma.org/principles.

⁵ [IT GLOSSARY](#), Gartner, Inc. Gartner is an information technology research and advisory company providing technology-related insight since 1979.

The Eight Principles®

Each of the eight Principles outlines attributes that, when combined with an organization's unique needs and circumstances, can be applied to the development of a program to meet RIM requirements. The Principles apply to all sizes of organizations, all types of industries, both in private and public sectors; and can be used to establish consistent practices across an organization.

RIM tightly aligns business processes with policies, procedures and infrastructure. The Principles are used to identify requirements for, and guide governance of, the creation, organization, security, and maintenance of records and other RIM activities.

FIGURE 1: THE EIGHT GARP PRINCIPLES



GARP Maturity Levels

The Principles include a Maturity Model overlay to assess a RIM program's maturity. The Maturity Model provides a description of RIM effectiveness.

Maturity levels are shown below; each level is defined, color-coded, and rated numerically 1-5.

Level	Characteristic
Level 1 Substandard	Characterized by an environment where recordkeeping concerns are either not addressed at all or are addressed in an <i>ad-hoc</i> manner.
Level 2 In Development	Characterized by an environment where there is a developing recognition that recordkeeping has an impact on the organization and that the organization may benefit from a more defined information governance (IG) program.
Level 3 Essential	Characterized by an environment where defined policies and procedures exist that address the minimum or essential legal and regulatory requirements, but more specific actions need to be taken to improve recordkeeping.
Level 4 Proactive	Characterized by an environment where IG issues and considerations are integrated into business decisions on a routine basis, and the organization consistently meets its legal and regulatory obligations.
Level 5 Transformational	Characterized by an environment that has integrated IG into its corporate infrastructure and business processes to such an extent that compliance with program requirements is routine.

BCPS Maturity Level

BCPS's current RIM practices are assessed overall as a **Level 2 (In Development)**. Level 2 describes an environment where there is developing recognition that "recordkeeping has an impact on the organization and that the organization may benefit from a more defined information governance (IG) program". Organizations that identify primarily with these descriptions should be concerned that their programs **may not meet legal or regulatory scrutiny**. Level 2 also indicates an environment with **poor content sharing, inefficient information management and duplication of content** (paper and digital duplicates; and born-digital duplicates) – inefficiencies impacting daily operations and efficiency.

BCPS's decision to conduct this assessment and develop a Roadmap to improve the current state of Information Governance and Records Management is a positive step toward implementing a complete, sustainable and defensible RIM program.

It is normal for organizations to be at differing levels of competency across the eight Principles. A rating of less than five may be acceptable depending on BCPS's risk tolerance and the cost/benefit of moving up to a higher level. Very good RIM practices may be achieved at Level 4, and even Level 3, when risk and costs are factored in.

There are no specific timelines for achieving results – it is, however, important to continuously improve the program to achieve BCPS's goals of RIM maturity. The roadmap column, below, recognize the potential for BCPS to move forward based solely on the knowledge gained by IMERGE consultants during this engagement.

Once BCPS has established its RIM staffing and formalized the program, the records staff should review the findings in this report and create a timeline that meets BCPS's priorities and resources availability. The Roadmap will foster BCPS's progression and improvement from an overall 1.4 Substandard score (on a scale of 1 to 5) to a maturity level appropriate to the risk profile of the System and Board.

In the assessment that follows, BCPS's RIM practices are ranked along the maturity level continuum for each of the eight Principles.

GARP Findings and Recommendations

The following recommendations represent a roadmap for moving the System to a higher maturity level in each of the Principles. The priorities are listed in the Executive Summary.

Principle	Findings	Roadmap Recommendations
Accountability	Level 2 (In Development)	
A senior executive (or person of comparable authority) oversees the recordkeeping program and delegates program responsibility to appropriate individuals. The organization adopts policies and procedures to guide personnel, and ensure the program can be audited	<p>BCPS Board places great emphasis on records management.</p> <p>General counsel and the law office have been assigned responsibility for records management.</p> <p>Board, executive management and staff are aware of the need for an improved records management program.</p> <p>Department Records Liaisons have been assigned and training is in process.</p>	<p>Hire, or assign a full-time staff member, to develop and maintain records and information management program.</p> <p>Develop complete retention schedules, procedures and guidelines to help staff manage records, both physical and digital.</p> <p>Include RIM in Data Governance Committee's charter.</p> <p>Further develop training and communications.</p> <p>Conduct analysis of capabilities and requirements for staff, technology and tools.</p>
Transparency	Level 2 (In Development)	
The processes and activities of an organization's recordkeeping program are documented in a manner that is open and verifiable and is available to all personnel and appropriate interested parties.	<p>BCPS Intranet content developed by Law Office includes information about records and the Records Management Program.</p> <p>Good security and access protocols within IT, but not well understood by staff creating low levels of confidence in digital records.</p> <p>Records are in silos and not easily shared across departments.</p>	<p>Continue to update guidelines and procedures.</p> <p>Include a link to the approved RRS and/or post the new RRS when completed to the internet.</p> <p>Review current and potential technology tools to improve transparency, sharing and control.</p> <p>Develop communications and training plans to improve transparency and record sharing.</p>

Principle	Findings	Roadmap Recommendations
	Paper records processes are defined, but not documented.	Buy/enhance and deploy RIM technologies.
Integrity	Level 1 (Sub-Standard)	
A recordkeeping program shall be constructed so the records and information generated or managed by or for the organization have a reasonable and suitable guarantee of authenticity and reliability.	<p>Inconsistent file naming and metadata for maintenance, retention or storage of records.</p> <p>No long-term digital preservation procedures or repositories.</p> <p>No quality process for scanning.</p> <p>No auditing or monitoring of records management processes including destruction.</p>	<p>Review security and access requirements of current and potential technology and business processes.</p> <p>Establish plan for assessing technologies to capture, store and manage digital content and deploying selected technologies.</p> <p>Establish privacy and other security classifications of records (public, vital, confidential, sensitive and historical).</p> <p>Develop electronic signature protocols and procedures.</p>
Protection	Level 2 (In Development)	
A recordkeeping program shall be constructed to ensure a reasonable level of protection to records and information that are private, confidential, privileged, secret, or essential to business continuity.	<p>Controls in place to protect systems from external threats.</p> <p>Vital records not identified though high awareness of need to protect records exists.</p> <p>No process for sharing protected records (confidential or sensitive) or easily identifying public records.</p>	<p>Identify types and locations of public, confidential, vital, sensitive and long-term or historical records.</p> <p>Include protection requirements in policies, rules, procedures, guidelines and technologies.</p>
Compliance	Level 2 (In Development)	

Principle	Findings	Roadmap Recommendations
The recordkeeping program shall be constructed to comply with applicable laws and other binding authorities, as well as the organization's policies.	<p>Few dedicated resources have been allocated for managing the lifecycle of records.</p> <p>Retention Schedules have not identified all regulatory or legal requirements.</p> <p>Records are not purged or deleted systematically and in the normal course of business.</p> <p>RIM knowledge has been disseminated via informal, on the job training with the exception of the recent records liaisons training.</p> <p>Employees are unclear of what constitutes records and non-records, what can be destroyed and what needs to be retained.</p> <p>Lack of tools or technology to automate RIM processes.</p>	<p>Conduct high level inventories of records and assess compliance with RRS.</p> <p>Develop procedures and guidelines on deletion of duplicates and obsolete records.</p> <p>Include RIM overview in on-boarding process.</p> <p>Develop user training at all levels on what to delete and what to retain.</p> <p>Establish plan for assessing technologies to capture, store and manage digital content and deploying selected technologies.</p>
Availability	Level 2 (In Development)	
An organization shall maintain records in a manner that ensures timely, efficient, and accurate retrieval of needed information.	<p>Inconsistent indexing and file naming and no standardized naming convention</p> <p>Federated searches possible by IT, but process is time-consuming and costly</p> <p>Duplicate records retained for convenience</p> <p>Accumulation of large volumes of unstructured and unmanaged digital records is increasing (as it is worldwide), including Redundant, Outdated or</p>	<p>Conduct surveys of stakeholders to assess access, findability and retrievability of records and information</p> <p>Assess requirements for technology and investigate options for improving access and lifecycle management of records and information</p> <p>Improve organization of information with uniform metadata standards and file naming conventions</p>

Principle	Findings	Roadmap Recommendations
	<p>Trivial (ROT) records that make it difficult to locate records when needed</p> <p>Shared drives disorganized, no standardized folder structures</p> <p>Significant share drive clean-up efforts needed</p>	<p>Establish a classification scheme and map to new RRS</p> <p>Train on RIM classification</p>
Retention	Level 2 (In Development)	
<p>An organization shall maintain its records and information for an appropriate time, taking into account legal, regulatory, fiscal, operational, and historical requirements.</p>	<p>Training provided for records liaisons</p> <p>Retention schedules in development</p> <p>Retention schedules were updated on a regular basis between 2009 and 2016</p> <p>MSA/DGS RRS approval process cumbersome</p> <p>Staff do not have guidelines as to how to manage paper originals and non-records and e-mails and apply appropriate retention</p> <p>RRS not developed for electronic records management</p> <p>Retention and disposition not embedded in business processes</p> <p>Informal departmental RIM processes not identified</p> <p>Shared drives have developed over time in an ad-hoc manner. The structures are mostly</p>	<p>Develop System-wide functional RRS</p> <p>Verify retention requirements meet business needs and compliance with industry, operational, Federal, and state requirements</p> <p>Ensure retention requirements identified in BCPS Policies, Rules or Procedures are included in the revised RRS</p> <p>Assess digital records that may require LTDP</p> <p>Develop functional file structures for organizing records</p> <p>Map file structure to retention schedule</p> <p>Develop procedures and processes for maintaining the RRS</p> <p>Develop procedures to create and manage updates to file structures</p>

Principle	Findings	Roadmap Recommendations
	<p>subject-based, making it difficult to comply with the RRS</p> <p>Departments often retain duplicate records in hard copy and digital without identifying the “official record”</p> <p>Shared drives are not monitored for retention or disposition</p> <p>No system--wide classification scheme to enable mapping retention to business processes and activities</p> <p>No goals for applying retention to digital records</p>	<p>Develop committee to review and approve IG/RIM program, classification scheme and retention schedules</p> <p>Train staff on using the file structure</p> <p>Train staff on retention and disposition rules and processes</p>
Disposition	Level 1 (Sub-Standard)	
An organization shall provide secure and appropriate disposition for records that are no longer required to be maintained by applicable laws and the organization’s policies.	<p>Disposition process in place for physical records sent to Logistics</p> <p>No formal process to ensure retention is compliant with RRS</p> <p>No central control or tracking for records disposition</p> <p>Business area responsible for records level tracking</p>	<p>Develop central tracking process for records disposition</p> <p>Develop an implementation policy for disposition processes for digital records</p> <p>Train on digital records disposition, including secure disposition for confidential/sensitive records</p> <p>Provide process for records deemed historical and required by MSA</p> <p>Develop long-term preservation strategies for paper</p>

Principle	Findings	Roadmap Recommendations
		<p>Develop plan for applying retention to legacy paper and digital records</p> <p>Apply retention to records in long-term physical storage</p> <p>Develop plan and procedure for disposition of legacy and orphan records</p> <p>Apply disposition process to legacy and orphan records</p> <p>Use FACR tools to purge duplicate and obsolete records</p> <p>Department liaisons to develop plan for applying retention to legacy paper and digital records past retention requirements</p> <p>Integrate retention and disposition schedules into future technology</p> <p>Update inventories with details of the destruction, use review sheets, or keep a record of when destruction or deletions were carried out in compliance with retention schedules</p> <p>Develop procedures for decommissioning hardware and software to ensure that all records and data are appropriately migrated or dispositioned and hardware or software is archived as needed (or other equivalent method)</p>

Content Management Technologies

Two technologies should be considered to help control content from creation through final disposition – Content Analytics software and Enterprise Content Management software.

Content Analytics Software

BCPS has approximately 80TB of business content on shared drives. We know from experience and industry statistics that 50-80% of content in any given department's shared drive is *redundant, outdated or trivial*, known as ROT. That means of the 80TB, 40 to 64TB have NO BUSINESS VALUE and, in fact, the clutter keeps users from finding valuable data resulting in re-creation of content and wasted time searching for content; multiple versions of a document may mean the wrong version may be used – at best causing embarrassment, at worst, resulting in a legal dispute.

Staff stated in our interviews that they would welcome help cleaning up existing content and that it is a priority; IT also stated that users were asking them for help cleaning up content. As stated earlier in this report, the retention schedule has primarily been applied to paper records while digital content has been managed ad-hoc without controls or audit record.

It is virtually impossible to for any department to manually review hundreds or thousands of folders and sub-folders and thousands of files. Unfortunately, many shared drive structures were setup for an individual's use; departments shared drive structures morph over the years with new structures introduced by staff while old structures languish. Content in the shared drives folder structure may be attributed to many retention rules making it impossible to delete entire folder's content (except in rare cases).

Content Analytics software was developed to solve this vexing problem of analyzing existing content and providing the means to remediate it. Content Analytics tools are central to an overall Information Governance strategy.

Content Analytics software serves multiple purposes:

1. Analyze a selected group of content (a directory structure):
 - a. Crawl content and ingest into a data base all content metadata
 - b. Classify content into clusters of similar content
 - c. Identify duplicate content
 - d. If desired, analyze the *text* of content to discover PII, HIPAA, or other regulated data that, if stolen, would result in significant cost and embarrassment
2. Present information for analysis
 - a. Analyze metadata and classified content and match to the retention schedule.
 - b. Identify content with the potential to be deleted
 - c. Clusters of like content are presented for to the department team for validation.
 - d. Content unable to be clustered has user intervention to classify a document then look for "like content" which in turn clusters more content. This activity continues.
 - e. Present duplicates for remediation.
3. Take action

- a. Once validated, user may direct content for deletion or migrate it to a holding area pending final deletion.
- b. Qualified content may be migrated to a content management system or SharePoint.
- c. Qualified content may be migrated to a new, properly configured shared drive.
- d. Qualified content may be quarantined as it contains PII.
- e. Content may be “tagged” with additional metadata such as Security Classification (public or confidential), ownership, historically significant, etc.

All content actions are audited by the Content Analytics solution unlike actions taken with shared drives which are not audited nor controlled.

4. On-going analysis: newly added content is typically analyzed weekly to validate it has been stored in the right location and is not a duplicate.

In Summary, it will take the System a year or more to purify your 30TB of content; but the end result will be streamlined information organization, simplified fulfillment of open records requests, efficient content search, and content placed in the best system for lifecycle management.

Budget

Content Analytics products may be priced based on the content to be remediated, perpetual license, subscription or a combination of these. A budget range would be \$150,000 to \$250,000; a business analyst or consultant will be needed to guide the effort.

Cost would be offset by reduced IT costs which would include deferring purchase of additional storage, faster backups, faster restores, improved disaster recover, and less time fulfilling open records requests plus staff efficiencies gained by eliminating valueless content, duplicates and unneeded versions.

Enterprise Content Management (also called Content Services)

Enterprise Content Management (ECM) describes the strategies, methods and tools used to capture, manage, store, preserve, and deliver content related to organizational processes. ECM tools and strategies allow the management of an organization's unstructured information, wherever that information exists⁶.

The term “content” in this definition refers to any unstructured information in an organization. Unstructured information includes email, documents, photographs, video, audio, maps, drawings, or any other “objects” that contains “content” that BCPS needs to manage.

ECM “systems” or “solutions” are composed of many “tools”, or software components, that, taken together, constitute an Enterprise Content Management **system**. Most of these software components are developed as a single solution by ECM software vendors; however, there are some components that may be procured separately and integrated with the core ECM software solution. (For example, Accounts Payable invoicing processing solutions specialize in automating invoice data entry, payment

⁶ Definition from the Association of Image Information Management (AIIM) <http://www.aiim.org/What-is-ECM-Enterprise-Content-Management>

approval and data integration with ERP solutions; this software would be a component of *any* ECM solution, not any specific ECM vendor's software.)

In the last 24 months, the term *Content Services* has come into vogue reflecting the reality that content may be managed in multiple systems: attached to records in ERP systems, in cloud file sharing sites like Box or OneDrive, in SharePoint, or a myriad of other storage locations. Effectively, traditional ECM solutions become one of those management systems in a Content Services ecosystem.

BCPS will require an ECM solution to manage major records collections such as cumulative student records, HR Personnel files, potentially AP Invoices, and others.

There are **five major components** of an ECM solution. Each is shown below together with some of the functionality that falls within each category.

1. Capture: gathering, transforming (when necessary, altering the file format) and organizing content into the ECM repository. Capture includes **Eforms** with esignature which are used to eliminate the need to print and sign paper or digital forms. When captured, content will be correctly classified and tied to its record retention rule – user will no longer be involved in records management decisions – they will be handled by records staff.
2. Store: database and storage system that control where, and how, content is stored and accessed (security).
3. Manage: the management and manipulation of content from the point of capture until deletion from the system (typically when retention rule exceeded). Management functions include lifecycle records controls and **hold authority** (legal hold, audit hold, etc.). All actions are audited.
4. Deliver: the techniques for finding, viewing, or otherwise moving content to where and when it is needed. Deliver activities include **Workflow** which moves content through work tasks ensuring completion of work on-time and without fail. Workflow offers sophisticated process flows and complete audit history of every action taken – whether human or computer. With workflow there is no questions as to who acted on content and when action was taken.
5. Preserve: ensuring that content authenticity is maintained.

Integration of ECM to BCPS's systems, such as SIS or Advantage, delivers content to the user in the context of their daily work. From the user perspective, content is delivered to them at the press of a button on their keyboard – they don't need to know where it is stored.

In addition, like Content Analytics, **all actions taken in an ECM are audited and may be monitored for compliance with all applicable System policies.**

In summary, ECM solutions offer tremendous benefit managing content from creation through final disposition.

Budget

ECM solutions costs vary greatly depending on features procured and the number of licenses. For an organization of BCPS's size, a budget of \$1.5mm to \$3mm over 5-years would be expected. Staffing would be necessary – specifics would require further discussions as to existing staff that would be available or whether new staff would be needed.

Technology Roadmap

The priorities for the System should be:

1. If budget is not available, budget for both technologies in the next budget cycle.
2. If budget is available for one or both solutions:
 - a. Initiate analysis to identify requirements
 - b. Initiate an RFP procurement process to solicit responses and identify potential vendors.
3. Simultaneously, evaluate staffing and determine if additional resources will be needed. Budget for additional staff if necessary.

Findings Report Conclusion

The Law Department has made progress toward establishing a formal records program which encompasses all content regardless of format or storage location. However, for an organization of BCPS's size and complexity, it will require dedicated resources – both human and financial, to fully implement and sustain it. The Board's commitment to the success the records program will reap tremendous rewards for the System from reducing IT resources to automation of processes and efficiencies for staff. It is an investment that will benefit schoolhouse and administration while reducing risk and simplifying compliance. IMERGE recommends the board support BCPS in its move forward with a fully functioning records program with as much expediency as possible.

Report End

Appendix A: Records and Information Management (RIM) Socialization / Delivery

BCPS requires skilled employees and visibility to socialize RIM initiatives. BCPS Steering Committees and other senior level executives will need to actively promote and support the initiatives to:

- **Get managers on the same page:** From all program areas, everyone must focus on a unified goal of maximizing information's business value. The tone from the top matters, and senior leaders should clearly reinforce their expectation of RM's importance.
- **Identify BCPS's** information management requirements and associated risks to the business. Clearly identify what risks BCPS is—and isn't—willing take with its information assets. A formal statement of BCPS's risk threshold provides stakeholders a blueprint to help balance the value of retaining information against the costs and risks. Statements should include concrete examples of difficult decisions and guidance on how to assess information risks in practice.
- **Develop training to help employees make good decisions:** Employees need to understand BCPS's information requirements to be able to make smart decisions while on the job. Training and education are required to instill good judgment in situations employees will encounter in their day-to-day work.
- **Make the business side accountable for information management decisions:** Business leaders should be enabled to make those decisions—and held responsible for them at the same time. Requirements should be clear, and specific business owners of the information must take final accountability for information risk decisions and be accountable for key elements of the information management process. Legal must be available to assist in risk decisions as needed.

Change Management

Change management is the process of planning, implementing and monitoring a shift from one state or process to a supposedly better state or process. The implementation of RIM will involve new ways of working. BCPS will need to develop strategies to adopt change management.

Strategies and Plans

Change management strategy involves considering various factors such as the scope of the program, resources available, end objectives, and other factors to decide on a specific approach or model to implement change.

Change management theories and models provide a blueprint to effect the change process. They provide the program manager with a specific framework to develop a plan of action during the planning process.

A good change management plan makes a thorough assessment of the specific aspects that require change, factors in all resources and variables to detail what is required to execute the plan, and then helps to keep the program on track.

One of the main difficulties in a program of this nature is managing change. The program impacts on every individual in the organization who creates or receives records (including e-mail). Employees need

to adjust to a shift in the way records are managed, which can take time to learn. In addition, some employees may experience difficulties in adjusting to new processes or use of new technology.

Spend a significant part of the program dealing with change management issues and reassess these at each stage of the program.

Communication Plan

During the course of the program it is important to keep all stakeholders informed about the progress. A well-developed communication plan, using all available methods, is vital. The communication plan will be a key strategic planning tool for program and change management to:

- Ensure the program is seen as an integral part of BCPS focusing on the benefits and what is required of employees
- Have the program sponsor and members of the Information Governance Steering Committee champion the program
- Keep employees informed about the progress of the program using discussions, meetings, employee newsletters, the Intranet site and other sources to promote its aims and objectives
- Have regular consultation sessions with employees, such as informal one-to-one discussions, briefings and training
- Set-up suitable feedback mechanisms such as a system to track issues, workshops, etc.
- When program is operational, make information and new tools accessible via the intranet; e.g. Recommendations, schedules, policy, guidelines, quick reference guides, templates
- Identify the need for training and plan and conduct as appropriate

Communication may include:

- A general statement to all employees explaining that the program is to take place and why it is in the interests of everybody that it should be done properly. This should have the full support of senior management and should be short and to the point.
- Awareness Sessions will be an early communication as to the goals and outcomes of the program and why it is important to each employee. Informing employees about their involvement in the program and goals and objectives is a first step in a change management initiative.
- Regular communication beforehand with those who are acting as the local contact/champions, such as records liaisons. Initially this might involve a training session/discussions and telephone calls. Later an informal newsletter or feedback to this group as the program progresses whether or not they are directly involved at that point in time.
- Direct communication with the area, department, team or unit before tasks are scheduled to take place. After it is completed give feedback with some preliminary suggestions and conclusions.
- Regular Progress Reports to Senior Management even if this is not formally required as part of the task. This is a vital element for ensuring continued support and, if need be, resolving disputes, or difficulties.

- Regular general bulletins to all employees containing general news, wins, or fascinating facts unearthed during implementation are important in winning over the unconvinced.

A Communication Plan is used to identify the following:

- Preferred management staff to deliver the communication
- Explain why the program is happening and the risk for not doing it (Awareness Session plus updates)
- Answer “What is in it for me?” (WIIFM)
- What mechanisms to use for communication?
- What feedback mechanisms to employ?
- What is needed to prepare the communicators to effectively deliver the message?
- How to assess the effectiveness of communication messages?

Training Approach

RIM program implementation includes the introduction of the policies, rules and associated procedures to all employees.

Training can and should be presented in a variety of forms to address the training needs of the various groups at BCPS. Training materials and content can be re-used and adapted to the various audiences with language and depth adjusted based on the training requirements.

Delivery through the learning management system (Schoolology) presents an excellent opportunity to target specific groups and manage the progress and effectiveness of the training tools. It is advisable that many modes of delivery be used since adult learners need varying strategies to match their learning levels. Specific tools to be employed should include:

- Classroom
- Online
- Train the Trainer
- New Employee Orientation

In addition, a variety of training strategies go hand in hand with implementation plans. These include:

- A range of awareness briefings to business areas to improve understanding of records management processes and technologies;
- Training to improve general information management, which might focus, for example, on the use of the retention schedules;
- Training of records liaisons to provide first line support; and
- Provision of a range of job aids and references to target particular shortfalls in understanding or using the records management environment in operation.

External Training

External training programs are available that could be taken offsite or online to raise the general records management experience of key employees who are actively involved in managing or administering the RIM Program. This could involve IT employees, RM Team, Legal Team, and Records Liaisons. Some of these programs provide greater depth and would provide greater insight to those employees responsible for ongoing maintenance and support of the Records Management Program and records management toolkits (classification structure, retention schedules).

Communication Methods

Ideally, a variety of communication products should be used both during implementation and on an ongoing basis. The communication materials should be:

- Colorful
- Simple to read and understand and if possible humorous
- Graphic and visual

Variety and creativity help retain interest. All available channels to communicate should be considered. These could include:

- Departmental newsletters;
- Intranet
- Bulletin boards
- Memorandums
- Email blasts to all employees
- Blog posts on senior management's blogs
- Face-to-face meetings and workshops
- One-on-one meetings
- Other creative ideas to communicate and generate interest and involvement

Specific emphasis should be given to department procedures requiring specialized training. Program training should be evergreen and be integrated into:

- New Employee orientation
- Annual review training modules for all employee
- Department specific training modules for regulatory document processing and control
- System and application specific training

In addition to formal employee training, program policy and procedure objectives should be included in annual employee performance reviews to ensure compliance and program sustainability.

Focus on Target Audience

Remember who the target audience is and the message you want to communicate. When developing course material, use examples that are relevant to the target audience and provide them with knowledge that will be directly relevant to their responsibilities.

Develop a Training Timetable

Draft a plan that states when you will have training content developed, when you will present this content to employees, or alternatively, when you will engage consultants to develop a training package for you.

Be sure to consider the requirements of the chosen training method - face to face classes, formal course reading material etc. when finalizing the timetable.

Training Module Topics and Target Audience

RIM Topics	RIM Employees	IT Employees	Mgmt.	Records Liaisons	All Employees
New Employee Orientation <ul style="list-style-type: none"> To understand the management of public records To define "Records Management" To define a "Record", "Transitory Record", and "Non-Record" To explain the importance of Records Management and describe the Records Management To identify Records Liaisons 	√	√	√	√	√
Existing Employees – High Level Training <ul style="list-style-type: none"> To understand the management of public records To define "Records Management" To define a "Record", "Transitory Record", and "Non-Record" To explain the importance of Records Management and describe the Records Management Program To identify Records Liaisons To locate RIM Toolkits (RRS, Policies, Procedures, etc.) To manage Records Storage and Disposal 	√	√	√	√	√

RIM Topics	RIM Employees	IT Employees	Mgmt.	Records Liaisons	All Employees
Supervisor and Manager RIM Training <ul style="list-style-type: none"> Managing Records in all formats (Paper and Electronic) Understand and Implement records retention management including use of Records Retention Schedules Disposition of Records To determine essential business functions and resources for identifying essential records – Records Liaisons duties and responsibilities Records Storage format and location Records Disaster Recovery Location of RIM Toolkits (RRS, Policies, Procedures, etc.) Public Records Requests 	√		√		
Records Liaisons <ul style="list-style-type: none"> Records Liaisons duties and responsibilities Managing Records in all formats (Paper and Electronic) Understand and Implement records retention management including use of Records Retention Schedules Disposition of Records To determine essential business functions and resources for identifying essential records Records Storage format and location Records Disaster Recovery Location RIM Toolkits (RRS, Policies, Procedures, etc.) Training materials Managing public Records Requests Developing five-year plan for clean up 	√			√	

Resolving Issues

The process of change is beset with many issues, apparent and hidden. Regardless of the extent of planning, organizational skills or foresight, issues that may derail the initiative invariably come up, for both the team guiding the change initiative and the emotions of employees who have to carry the burden of the change.

Success of the change management process depends on the program managers and leaders anticipating a plethora of issues. It's important that they try to pre-empt them as much as possible, being cognizant

of issues as they come up and adopting prompt resolution measures, the drivers of change showing flexibility to cope with changes within change that may lead to issues.

Program management and oversight are an important aspect of change management and will:

- Ensure that RIM is seen as an integral part of BCPS, with presentations and employee discussions focusing on goals and objectives
- RIM sponsors and management to champion the program
- Keep employees informed about the progress using discussions, meetings, newsletters, the Intranet, and other sources to promote its aims and objectives
- Have regular consultation sessions with employees, such as informal one-to-one discussions, briefings, and training
- Set up suitable feedback mechanisms to track issues, lessons learned, tips and tricks
- Assist in the creation of usable toolkits to assist in the use of the tools e.g., policies, guidelines, quick reference guides
- Make the RIM Toolkits accessible via the Intranet – e.g., RRS, policy, guidelines, quick reference guides, templates and forms
- Identify the need for remedial training for RIM

Managing People Issues and Expectations

It is sometimes the case that some employees expect too much of the final results of the program, particularly if technology is involved. As a result, if the solution is not what they expected, they may react negatively.

People are affected by change and individuals react differently to change with varying degrees of acceptance.

- Some thrive on and actively seek change
- Some simply accept change
- Some resist changes

Individuals that resist change have usually developed a psychological barrier to change causing them to go through a reaction cycle which affects their productivity negatively resulting in unanticipated “hidden costs.”

Resolving people issues constitute the major challenge in managing change. Change is in a sense alteration in the way BCPS utilizes its resources and employees.

The success of the change initiative depends on the program manager enlisting the support and cooperation of employees. The ways to do so are by selling the change to them, motivating them, adopting a carrot-and-stick policy to extract performance, and overcoming resistance by assuaging uncertainties such as lack of clarity on what to do and fears of changes in the comfortable status-quo.

Appendix B: Maryland State Archives RRS

Maryland State Archives

Maryland State Archives is the central repository for state government records of permanent value. The Archives operates with a broad legal mandate to acquire and care for both public and private records relating to the history of Maryland from initial settlement in 1634 to the present.⁷

State Comparison and COSA Report

As of 2016-2017 State of State Records⁸ by Council of State Archivists report the Maryland State Archives has had minimal or no expenditures or staff dedicated to records management. Current staff do not have the bandwidth to provide services to local government. Records Management staff let go, quit or retired in 1970's and 1980's and were not replaced. IMERGE recently completed a comparison of State Archives of Colorado, Utah and other Western States. While Maryland State Archives ranked number 2 for Archives expenditures, it has no budget allocated to Records Management. The Director of Records Management and Coordinator for Public Information Act Requests is responsible for all state agencies, counties and local government records management guidance and RRS approval. Additional Archives staff assist, but there are no other dedicated FTE's for RM.

⁷ <http://guide.msa.maryland.gov/pages/index.aspx>

⁸ https://www.statearchivists.org/files/4515/3937/0320/2016-2017_ARM_Survey_Tables.pdf

Date	Description	Sched #
	Baltimore County Board of Education, Superintendent of Schools	C153
	Baltimore County Board of Education, Superintendent of Schools, Child Accounting	C154
	Baltimore County Board of Education, Superintendent of Schools, Division of Education, Research and Planning	C155
	Baltimore County Board of Education, Division of Instruction, Assistant Superintendent	C156
	Baltimore County Board of Education, Division of Instruction, Director of Elementary Education	C157
	Baltimore County Board of Education, Division of Instruction, Director of Secondary Education	C158
	Baltimore County Board of Education, Division of Instruction, Special Education	C159
	Baltimore County Board of Education, Division of Instruction, Business Education, Adult Education	C160
	Baltimore County Board of Education, Division of Administration and Special Services, Assistant Superintendent	C161
	Baltimore County Board of Education, Division of Administration and Special Services, Personnel	C162
	Baltimore County Board of Education, Division of Administration and Special Services, Psychological Services	C163
	Baltimore County Board of Education, Division of Administration and Special Services, Pupil Services	C164
	Baltimore County Board of Education, Division of Administration and Special Services, School Accounting	C165
	Baltimore County Board of Education, Division of Administration and Special Services, School Lunch Program	C166
	Baltimore County Board of Education, Division of Administration and Special Services, Transportation	C167
	Baltimore County Board of Education, Division of Finance, Assistant Superintendent	C168
	Baltimore County Board of Education, Division of Finance, Accounting	C169
	Baltimore County Board of Education, Division of Finance, Payroll	C170
	Baltimore County Board of Education, Division of Finance, Purchasing	C171
	Baltimore County Board of Education, Division of Plant Management, Engineer in Charge of Construction Operations and Maintenance	C172
	Baltimore County Board of Education, Division of Plant Management, Engineering Department	C173
	Baltimore County Board of Education, Division of Plant Management, Plant Operations and Maintenance	C174
5/9/1961	Harford County Board of Education	C175
3/28/1961	Harford County Board of Education	C176
3/28/1961	Harford County Board of Education, Superintendent of Schools	C177
3/28/1961	Harford County Board of Education, Superintendent of Schools	C178
5/9/1961	Harford County Board of Education, Administrative Assistant	C179
3/28/1961	Harford County Board of Education, Transportation and School Lunch Program	C180
3/7/1961	Howard County Board of Education, Superintendent	C184
3/7/1961	Howard County Board of Education, Elementary Schools	C185
3/7/1961	Howard County Board of Education, Secondary Schools, Curriculum and School Lunch	C186
3/7/1961	Howard County Board of Education, Pupil Personnel	C187
3/7/1961	Howard County Board of Education, Finance	C188
3/7/1961	Howard County Board of Education, Transportation	C189
3/7/1961	Howard County Board of Education, Maintenance	C190
4/26/1976	Baltimore County Board of Education, Administration Division	C421
1/24/1977	Baltimore County Board of Education, Administration Division	C451
8/1/1975	Frederick County School System	C582
1976	Montgomery County Public Schools	
12/4/2009	Carroll County Public Schools (CCPS), Finance Department	C1097
3/1/2010	Carroll County Public Schools (CCPS), Purchasing Department	C1102
3/1/2010	Carroll County Public Schools (CCPS), Budget and Grants Division	C1103
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