![SOS — Office of the Secretary of State — Washington State Archives]

Report to Legislature
Paper Records Reduction
December 31, 2014

Contents

Executive Summary

- In response to the Supplemental Operating Budget (2014 ESSB 6002, Section 119), the Office of the Secretary of State convened a work group to:

    "*study methods for retaining records in electronic formats and for shorter periods of time, with the goal of reducing the volume of stored paper records by ten percent by the end of 2016, and an additional ten percent by the end of 2018.*"

- Key findings were:

    1. State agencies are moving away from paper;

    2. Several factors are slowing adoption of paperless processes: cost; legal issues; bandwidth; mobile security; scanning and indexing costs; and management of electronic records; and

    3. All 3 methods of storing records – paper, scanned images, and born digital – each cost money and each have a different cost-benefit ratio.

- Strategies adopted to achieve the goal of reducing the volume of stored paper records are:

    1. Increasing scrutiny of retention periods and archival designations;

    2. Aligning Records Center holdings to current records retention schedules;

    3. Increasing agency timeliness in authorizing destruction of records;

    4. More focus on coordinating reviews of retention schedules across government;

    5. Encouraging increased use of "Scan & Toss"; and

    6. Continuing work on Information Governance / Enterprise Content Management (ECM) Initiative.

- Results so far have been that these strategies have resulted in virtually no growth from FY2013 to FY2014 in the volume of paper records being stored.

Introduction

During the 2014 legislative session, the Office of the Secretary of State requested funds to lease warehouse space to store paper archival and short-term records, while a longer-term solution continues to be investigated. Without these funds, the State Archives and the State Records Center would not have been able to accept any more records, immediately creating negative consequences for state agencies.

In the Supplemental Operating Budget (2014 ESSB 6002, Section 119), the Legislature funded the request for space, but found that the "volume of state records retained in paper format continues to grow, increasing the records storage costs for the state." The Legislature directed that the Secretary of State "convene a work group to study methods for retaining records in electronic formats and for shorter periods of time, with the goal of reducing the volume of stored paper records by ten percent by the end of 2016, and an additional ten percent by the end of 2018."

The Legislature further directed the Secretary of State to invite certain agencies to participate in the work group and to report to the appropriate legislative committees by December 31, 2014, and December 31, 2015.

Background

In addition to other responsibilities, the Office of the Secretary of State is responsible for archiving documents for the state executive, legislative and judicial branch agencies. The Office also assists those agencies in managing the life cycle of records, thereby helping to ensure the most efficient and cost effective use and storage of state records. Savings in space and funds are achieved by the timely destruction of records according to retention schedules and by maintaining a central State Records Center that achieves significant cost savings for storing records no longer needed in immediate office space.

The State Archives is responsible for permanently storing the important long-term legal and historical records of state government. These records, which comprise about 1%-3% of all records created, go back to 1853 and include state laws, Supreme Court case files, legislative committee files, executive files from state agencies, and the files of legislators. The current State Archives building, built on the east capitol campus in 1963, has been full since 2005. For the last nine (9) years, while a longer-term storage solution has been sought, the Archives has had to store the State's important legal and historical records at the State Records Center in Tumwater, which lacks the necessary environmental conditions for the long-term preservation and storage of archival records.

The State Records Center in Tumwater, constructed in 1992 and expanded in 2003, is a major state government productivity and cost-savings initiative that is 15 times more cost effective at storing paper records than typical office or warehouse space. The Records Center uses low facility lease costs, economies of scale, barcode and storage technologies, and 40' high-bay shelving systems to keeps its costs down. It is responsible for storing the other 97%-99% of state government records that are usually shredded within 6 years of creation (see Appendices 1 & 2). These include purchasing documents, leave requests, and other short-term legal, fiscal, or administrative records.

Due to the overflow of records from the Archives, the Records Center has not had available box storage since 2012 and has also been using additional inefficient temporary storage space.

State Archives' Approach

The State Archives invited eight agencies to the work group, and asked each agency to nominate at least 2 people to participate: a senior manager familiar with records management programs, policies and practices; and the chief information officer (CIO) or designated representative. These two roles were identified for their knowledge of the challenges facing agencies in creating, receiving, and storing paper and electronic records (see Appendix 3).

The work group met in May at the State Records Center and in July at the Office of the Attorney General. The meetings involved wide-ranging discussions on why agencies were still creating and receiving records in paper format and the challenges they face implementing more electronic-based processes. These discussions led to the creation of a set of findings and recommendations by the State Archives that serve as the crux of this report (see Appendix 4).

In addition to the discussions, a short online survey focusing on reducing paper-based processes was sent to state agency records officers and chief information officers. The survey was largely based on a similar national survey conducted by the Association for Information and Image Management (AIIM) in order to see if the same factors were reflected in Washington. A comparison between Washington and the national responses is included in this report (see Appendix 5).

State Archives' Findings

The first part of the legislative directive was to "study methods for retaining records in electronic formats." After reviewing the discussions of the workgroup and the survey results, two facts come to the forefront. First, state agencies are moving away from paper-based records processes, and second, there is a cost to all record-keeping, regardless of format.

State Agencies are Moving Away from Paper

One of the first findings is that 94% of respondents to the survey, stated that the amount of paper moving through their agencies was staying about the same, or decreasing. This even though, 65% of the respondents stated that there were no specific policies, or initiatives, to drive paper-based processes out of their agencies.

According to the respondents, the paperless processes that many agencies are using include human resources and payroll (timesheets, leave requests, expenses, on-boarding employees), approvals and draft reviews, accounts payable, and help desk requests. Agencies have been moving to these paperless processes because they provide faster customer service, better audit compliance, improved status and workload monitoring, and more efficient use of staff resources. Additionally, these processes increase staff access to documents, save time searching for misplaced documents, and save time re-keying lost data.

Factors Slowing the Movement to Paperless Processes

The State Archives did find that the shift to paperless processes was not without difficulties. Several major impediments were discussed. Among them are legal issues, bandwidth concerns, mobile security, scanning and indexing costs, and effectively managing electronic records.

> Costs: There are three basic methods to temporarily or permanently store records. First, paper records can be stored in file cabinets or archive boxes. Second, paper records can be scanned, indexed, and stored on servers (the original paper may or may not be recycled). And finally, computer systems and web applications can be developed or purchased to store "born digital" records on servers. All three methods have costs associated with them, and all three will have different cost-to-benefit ratios.
>
> The State Archives discovered that the majority of technology upgrades and initiatives would need to be funded within existing budgets. This will be difficult due to substantial reductions over the past 6 years, which have drastically reduced discretionary spending by state agencies.
>
> Costs, however, are not the only factor in deliberations to move to paperless processes. There may be legitimate business reasons, other than the cost of storage, to invest in "scan-and-toss" operations or to develop computer applications that create electronic records.

Scanning & Indexing Costs: It may seem counter-intuitive, but some records will be more cost-effective to use and maintain as paper rather than scanning and indexing, due to the high cost of scanning and indexing. For instance, a positive financial return on investment may only be realized with records that must be kept for over 30 years.

Legal Issues: The survey showed that statutes requiring the use of manual ink signatures were an impediment to conducting more transactions online and therefore contributing to the continuation of paper processes. The Office of Financial Management and the Office of Chief Information Officer is working with the Washington State Bar Association to draft legislation that would remove statutory barriers to using electronic signatures in transactions with governmental entities.

State and federal rules of evidence were raised as a concern. The rule of evidence provide that, when there is a genuine question as to the authenticity of a duplicate copy, the original writing, recording, or photograph is required.

Bandwidth: Many state agencies with dispersed geographical locations lack sufficient bandwidth to convert all paper transactions to digital due to the sizeable data transfers. Bandwidth is costly, and in some instances requires installation of, or expansion of, other state networks.

Mobile Security: The need to protect sensitive data was mentioned as an obstacle to the deployment of digital solutions to mobile devices such as cell phones, tablets and laptops, or sharing such data between remote locations across the Internet.

Management of Electronic Records: Like paper, imaging systems and born-digital electronic records must be managed and destroyed according to retention policies. Almost every state employee works with a computer workstation or laptop, generating a growing volume of electronic records that are becoming more difficult to manage. Many agencies are still developing proper procedures and policies for managing and disposing of electronic records according to retention schedules.

One method of managing the life cycle of electronic records is by using an Enterprise Content Management (ECM) system. These systems enable agencies to control and manage all of their electronic information in a comprehensive way. Typically these systems are cost prohibitive for many agencies to implement on their own, which has resulted in continued reliance on existing tools, such as Outlook, shared drives, and email archiving.

Aside from these major factors in implementing paperless processes, other challenges include re-orienting staff, managing change, clearly defining new processes, addressing exceptions, creating flexibility, integrating with other systems, and managing the time it takes to get up and running. There is also concern about the quality of scanned documents, and the fact that keyed and OCR data may be unreliable.

Strategies for Reducing Stored Paper Records

The second part of the legislative directive was to keep records for "shorter periods of time, with the goal of reducing the volume of stored paper records by ten percent by the end of 2016, and an additional ten percent by the end of 2018." The Archives is interpreting this to mean a 10% - 20% reduction in the volume of paper that would have come into the State Records Center based upon the average growth between 2009 and 2013.

The Archives has adopted multiple strategies to reduce the volume of paper records being stored by building upon process improvements that we have made over the past few years. These strategies include:

1. **Increasing Scrutiny of Retention Periods and Archival Designations**

    As part of the review processes of agency records retention schedules (see Appendix 6), the Archives and the State Records Committee have been asking for solid justifications for retention periods longer than 6 years. This scrutiny ensures that records are not being retained longer than necessary, and documents the justification for longer retention periods when required.

    The Archives has also been re-evaluating records designated as "Archival" and increasing the appraisal process before records are transferred to the State Archives. This results in more timely destruction of those records that do not need to be retained in the archival collection.

2. **Aligning Records Center Holdings to Current Records Retention Schedules**

    Since 2012, the Archives has been facilitating major revisions and consolidations of agency records retention schedules. One of the most notable results in this process is the shortening of many retention schedules. The Archives has worked with agencies to ensure that the new retention periods get applied to the existing records stored in the Records Center. In the past, this has not always happened, resulting in older boxes of records left on the shelves until the old retention period expires.

3. **Increasing Agency Timeliness in Authorizing Destruction of Records**

    Even when agency records are due for destruction, the records are not actually destroyed until the agency has authorized the destruction. When an agency delays signing off on the destruction, records are not being destroyed in a timely fashion. The Archives is working more proactively with agencies to ensure that destruction reports are authorized more quickly.

4. **More Focus on Coordinating Reviews of Retention Schedules Across Government**

    Over the past three (3) years, the Archives has been working with state agencies to consolidate their numerous records retention schedules into single comprehensive documents. This has allowed the Archives to get a better overall picture of what records are created statewide.

    For example, while the Department of Revenue's schedule was being reviewed and preliminary work was beginning on the County Assessor's schedule, it made sense to revise the retention schedule of the Board of Tax Appeals since there is considerable inter-connectedness between these agencies' records.

5. **Encouraging Increased Use of "Scan & Toss"**

In 2011, the Archives greatly streamlined the process of granting permission to state and local agencies to destroy "Non-Archival" paper records than have been scanned/imaged. Instead of each agency having to individually apply to destroy records after scanning, a general permission to destroy was granted to all agencies, provided the records were scanned and the resulting images managed in accordance with the *Requirements for the Destruction of Non-Archival Paper Records after Imaging* (a.k.a. "Scan and Toss").

While many agencies have made good use of this option, the Archives is working to further promote "Scan and Toss" through training sessions and agency consultations.

6. **Continuing Work on Information Governance / Enterprise Content Management (ECM) Initiative**

The Information Governance/Enterprise Content Management (ECM) Initiative that the Office of the Chief Information Officer and Washington State Archives are currently leading (in conjunction with a number of state agencies) presents a real opportunity to make ECM and better management of unstructured data an affordable choice for state agencies.

The Information Governance/ECM initiative has been a multi-discipline approach to deliver both the principles and the technology tools to manage agencies' information security, disclosure/access, retention and destruction in a coordinated and coherent way. This initiative includes creating master contracts for multiple ECM products which meet fundamental criteria, and allowing state and local governments to purchase the appropriate system for their needs. By taking a whole of government approach, Washington state agencies will be able to take advantage of enterprise-wide pricing to make these tools much more cost-effective.

Having the right tools to manage electronic records will enable state agencies to continue to move away from paper-based processes and the need to store paper records.

Results

The use of these strategies to date has been encouraging. Here are examples of the progress:

Office of the Attorney General: As a result of a collaborative effort with the Archives, 7,300 boxes of case files that were stored at the Records Center were authorized for destruction.

Additionally, more precise criteria was created for the different types of Attorney General case files. Refining the criteria resulted in shorter retention periods, fewer files being permanently maintained in the Archives, and less time spent by Attorney General staff identifying confidential material prior to transfer to the Archives.

Recreation and Conservation Office: Resulting from revisions to the records retention schedule, and through better use of "Scan & Toss," the Office was able to reduce the volume of the paper records in the Records Center by over 800 boxes.

Office of the Secretary of State: As a result of expanding the "Scan & Toss" philosophy, the Archives will not be accepting over 600 boxes of paper records from the Corporation's Division.

Office of the Secretary of State
Washington State Archives

In FY2014, the State Records Center had virtually no growth in its paper records storage, meaning almost as many records were destroyed as new records received. This is in stark contrast to the steep rise in records received by the Records Center in previous years:

Records Center Annual Growth Rate Flat for First Time
Records Boxes Stored in the State Records Center, 2006-2014

FY	Boxes
FY2006	218,378
FY2007	234,253
FY2008	241,526
FY2009	255,225
FY2010	271,099
FY2011	284,116
FY2012	300,581
FY2013	317,525
FY2014	317,332

The trendline represents a historic average growth rate of 5.5%

12/31/2014
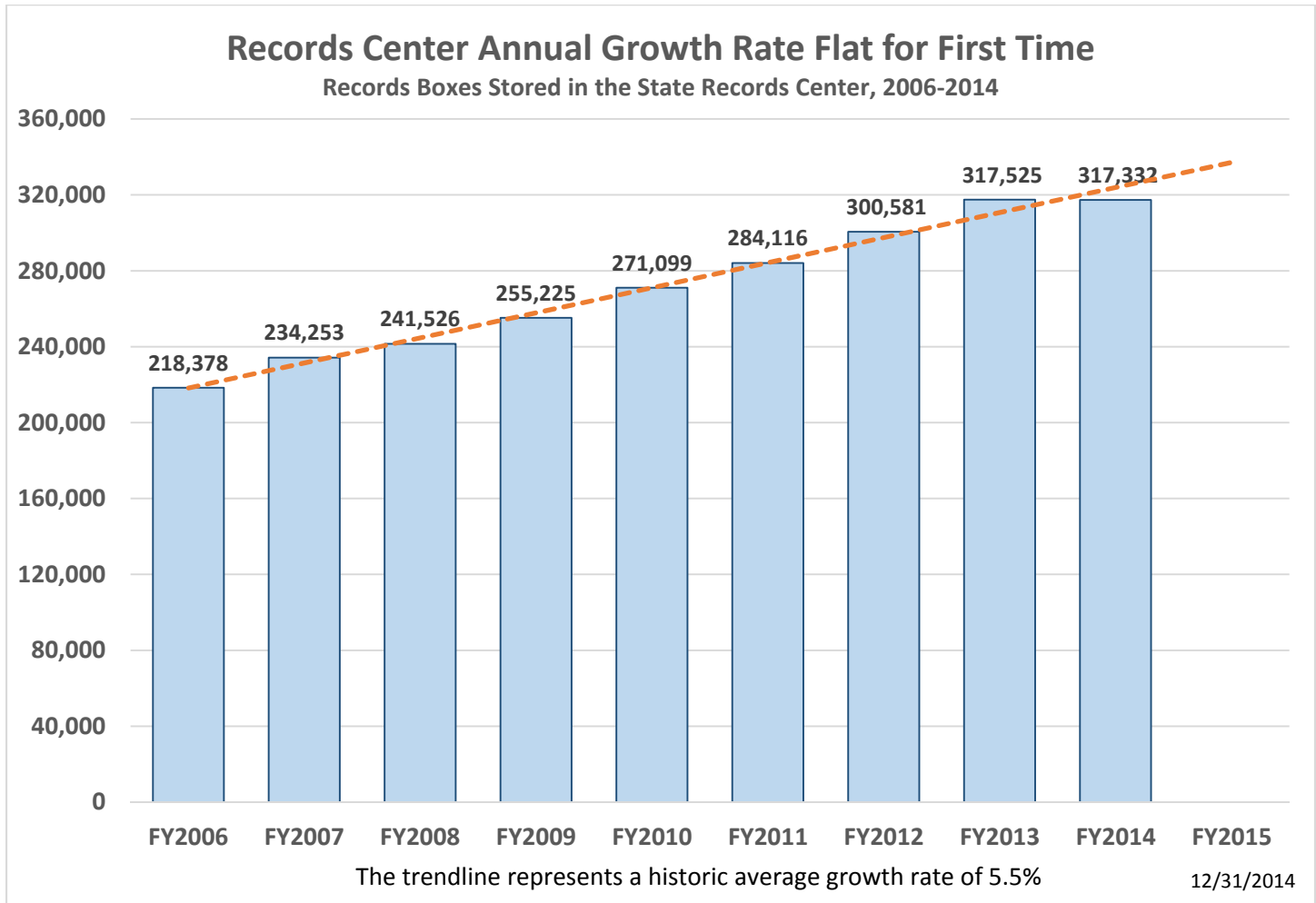
Next Steps

A second report will be presented to the Legislature by December 31, 2015 outlining progress towards the paper records reduction goal.

In the interim, the Governor's budget includes a carry forward for the Archives to lease temporary additional space to relieve the space shortage.

Appendix 1 – Records Center is 15 times more Cost-Effective

(5/21/2014)
The Records Center is Cost Effective:
15 Times More Cost-Effective Than Storing Records in an Office

Four drawer vertical file cabinet in an office setting:
- Occupies 3.36 square feet of floor space
- Holds 6 archive boxes of records
- Annual cost to store in $15 per square foot office space is $50.40
- Cost per archives box = $8.40

Archives Box at the High-Ceiling Record Center:
- Occupies 1.4 square feet of floor space
- High-bay shelving holds 31 boxes of records in 1.4 square feet
- Annual cost to store at $12.55 per square foot is $17.57 per year
- Cost per archives box = $ 0.56

$8.40 divided by $ 0.56 = 15 times more efficient

Notes:
Does not include common areas like aisles or hallways, exterior parking, utilities, shelving/file-cabinet and other costs common to both office and warehouse storage.

Isabella Bush Records Center Building

7590 New Market Street SW
Tumwater, WA

47,200 square feet
Will hold 296,203 boxes and 39,700 linear feet of DOC Files
5,708 box spaces remaining and 757 linear feet of shelving

Records Center Annex

7821 Arab Drive Unit B
Tumwater, WA

20,956 square feet
Will hold 48,152 boxes
12,998 spaces remaining

Operated by 6 staff

53,116 boxes and 65,321 DOC Inmate Case Files managed per staff

318,699 boxes in holding

39,000 retrievals a year for state agencies
38,000 new boxes per year, 23,000 boxes destroyed per year
Annual growth of 15,000 boxes

391,929 DOC Inmate Files in holding

9,000 retrievals a year for DOC inmate files
20,000 new inmate files per year.

Appendix 2 – Records Center Holdings Alphabetically by Agency (6/2014)

Agency Name	Boxes
Accountancy, State Board Of	130
Actuary, Office Of The State	32
Administrative Hearings, Office Of	105
Agriculture, Dept Of	995
Archaeology and Historic Preservation, Dept. of	142
Arts Commission	45
Attorney General, Office Of The	27,774
Auditor, Office Of The State	233
Beef Commission, Washington State	27
Blind, Dept Of Services For The	753
Clover Park Technical College (CPTC)	790
Code Reviser Statute Law Committee	914
Community & Technical Colleges, St. Brd	176
Conservation Commission	46
Consolidated Technology Services	248
Corrections, Dept Of	5,719
Court Of Appeals	8,302
Criminal Justice Training Commission	95
Dairy Products Commission	39
Department of Commerce	1,309
Early Learning, Department of	922
Eastern Washington University	1,524
Ecology, Dept Of	6,076
Employment Security Dept.	8,978
Enterprise Services, Dept Of	3,940
Environmental and land use Hearings office	101
Financial Institutions, Dept Of	5,817
Financial Management, Office Of	580
Fish & Wildlife, Dept Of	3,003
Gambling Commission, Wa State	814
Governor, Office Of The	107
Grays Harbor Community College	96
Growth Mgt. Hearings Bd.	274
Health Care Authority, Washington State	3,248
Health, Dept Of	36,095
Higher Education Facilities Authority	10
Hispanic Affairs Commission	4
Horse Racing Commission	7
Housing Finance Commission, Washington	2,192
Human Rights Commission	167

Agency Name	Boxes
Indian Affairs, Governor's Office Of	3
Industrial Insurance Appeals, Board Of	6,128
Insurance Commissioner, Office Of The	2,057
Investment Board, State	615
Joint Legislative Audit & Review Committee	179
Labor & Industries, Dept Of	18,560
Licensing, Dept Of	5,906
Liquor Control Board	10,518
Lottery, Washington State	596
Marine Employee's Commission	4
Military Department	863
Minority & Women's Business Enterprise	349
Natural Resources, Dept Of	5,985
Parks And Recreation Commission	1,794
Pollution Liability Insurance	134
Public Defense, Office Of	42
Public Disclosure Commission	252
Public Employment Relations Commission	338
Public Instruction, Superintendent Of	3,705
Recreation and Conservation Office	1,068
Retirement Systems, Dept Of	7,380
Revenue, Dept Of	766
School Directors Association	50
Secretary Of State, Office Of The	4,724
Senate, WA State	26
Shoreline Community College	324
Social And Health Services, Dept Of	64,913
South Puget Sound Community College	872
State Patrol, Washington	13,023
Supreme Court	1,045
Tax Appeals, Board Of	556
Traffic Safety Commission	59
Transportation Commission	3
Transportation Improvement Board	75
Transportation, Dept Of	28,406
Treasurer, Office Of The State	759
Utilities And Transportation Commission	3,392
Veterans Affairs, Dept Of	2,031
Volunteer Firefighters, Board Of	212
Washington State University	1
Washington Student Achievement Council (WSAC)	739
Workforce Training & Education Coordinating Board	46

Records Center Holdings by Box Count (6/2014)

Agency Name	Boxes
Social And Health Services, Dept Of	64,913
Health, Dept Of	36,095
Transportation, Dept Of	28,406
Attorney General, Office Of The	27,774
Labor & Industries, Dept Of	18,560
State Patrol, Washington	13,023
Liquor Control Board	10,518
Employment Security Dept.	8,978
Court Of Appeals	8,302
Retirement Systems, Dept Of	7,380
Industrial Insurance Appeals, Board Of	6,128
Ecology, Dept Of	6,076
Natural Resources, Dept Of	5,985
Licensing, Dept Of	5,906
Financial Institutions, Dept Of	5,817
Corrections, Dept Of	5,719
Secretary Of State, Office Of The	4,724
Enterprise Services, Dept Of	3,940
Public Instruction, Superintendent Of	3,705
Utilities And Transportation Commission	3,392
Health Care Authority, Washington State	3,248
Fish & Wildlife, Dept Of	3,003
Housing Finance Commission, Washington	2,192
Insurance Commissioner, Office Of The	2,057
Veterans Affairs, Dept Of	2,031
Parks And Recreation Commission	1,794
Eastern Washington University	1,524
Department of Commerce	1,309
Recreation and Conservation Office	1,068
Supreme Court	1,045
Agriculture, Dept Of	995
Early Learning, Department of	922
Code Reviser Statute Law Committee	914
South Puget Sound Community College	872
Military Department	863
Gambling Commission, WA State	814
Clover Park Technical College (CPTC)	790
Revenue, Dept Of	766
Treasurer, Office Of The State	759
Blind, Dept Of Services For The	753

Agency Name	Boxes
Washington Student Achievement Council (WSAC)	739
Investment Board, State	615
Lottery, Washington State	596
Financial Management, Office Of	580
Tax Appeals, Board Of	556
Minority & Women's Business Enterprises	349
Public Employment Relations Commission	338
Shoreline Community College	324
Growth Mgt. Hearings Bd.	274
Public Disclosure Commission	252
Consolidated Technology Services	248
Auditor, Office Of The State	233
Volunteer Firefighters, Board Of	212
Joint Legislative Audit & Review Committee	179
Community & Technical Colleges, St. Board	176
Human Rights Commission	167
Archaeology and Historic Preservation, Dept. of	142
Pollution Liability Insurance	134
Accountancy, State Board Of	130
Governor, Office Of The	107
Administrative Hearings, Office Of	105
Environmental and land use Hearings office	101
Grays Harbor Community College	96
Criminal Justice Training Commission	95
Transportation Improvement Board	75
Traffic Safety Commission	59
School Directors Association	50
Conservation Commission	46
Workforce Training & Education Coordinating Board	46
Arts Commission	45
Public Defense, Office Of	42
Dairy Products Commission	39
Actuary, Office Of The State	32
Beef Commission, Washington State	27
Senate, WA State	26
Higher Education Facilities Authority	10
Horse Racing Commission	7
Hispanic Affairs Commission	4
Marine Employee's Commission	4
Indian Affairs, Governor's Office Of	3
Transportation Commission	3
Washington State University	1

Appendix 3 – Workgroup Membership

Agency	Representatives	Advisors
Office of the Secretary of State	Ken Raske Mike Huntley	Mark Neary Katie Blinn Dave Ammons
• Washington State Archives	Steve Excell Terry Badger Russell Wood Larry Johnson	Leslie Koziara Julie Blecha
Office of the Attorney General	Jeff Even Martin Singleton	Linda Hoage
Office of the State Auditor	Mark Rapozo Mike Marty	Cindy Evans
Office of Financial Management	Laurie Lien Roselyn Marcus	Anita Wieland Kathy Cody
• Office of the Chief Information Officer	Dave Kirk	
Department of Corrections	Gunther Johnson Wendy Stigall	
Department of Social and Health Services	Jason Howell Mike Conley	Millie Brombacher
Department of Health	Bruce Dempsey Dan Francis	Sean Krier
Department of Transportation	Cathy Downs John Milton	

**Office of the Secretary of State
Washington State Archives**

Appendix 4 – Survey Results

(Complete AIIM Survey can be seen at: http://www.aiim.org/Research-and-Publications/Research/Industry-Watch/Paper-Wars-2013)

1. Do you have a specific policy or initiative to drive paper-based processes out of your agency?

Answer Options	WA Response Percent	AIIM Response Percent
Yes	35.4%	24.0%
No	64.6%	76.0%

2. Would you say that the amount of paper flowing through your agency is increasing or decreasing?

Answer Options	WA Response Percent	AIIM Response Percent
Increasing	6.1%	19.0%
About the same	37.8%	40.0%
Decreasing	56.1%	41.0%

3. What would you say are the biggest issues caused by paper-based processes in your agency? (select a maximum of three answers)

Answer Options	WA Response Percent	AIIM Response Percent
Time spent re-keying data, searching for paper copies and filing	61.3%	48.0%
Storage volume and outsource paper store costs	56.3%	43.0%
Inability to monitor workflow progress	30.0%	41.0%
"Lost" paperwork or case files	22.5%	39.0%
Compliance and audit issues	17.5%	29.0%
Poor access to case or process documents for agency staff	26.3%	25.0%
Inability of staff to work from home or on the road	15.0%	18.0%
Delays introduced by mail delivery services	12.5%	18.0%
Other	10.0%	19.0%

4. What do you think are the main concerns about work-flowed, paper-free processes? (select a maximum of three answers)

Answer Options	WA Response Percent	AIIM Response Percent
Physical signatures on paper are obligatory	56.4%	44.0%
Too much investment in scanning and capture needed	55.1%	34.0%
Legal admissibility will be compromised	17.9%	34.0%
The process workflow will be too inflexible for exceptions	17.9%	33.0%
Prefer to write notes and amendments to paper	19.2%	32.0%
It's a major change/jobs may be lost	10.3%	24.0%

	WA Response Percent	AIIM Response Percent
Keyed/OCR data will not be accurate, leading to mistakes	20.5%	19.0%
Scanned forms may not be easily readable	23.1%	17.0%
Documents and forms will be less reliably accessible than with paper filing	5.1%	14.0%
Can't take work or reference documents home or out on site	2.6%	9.0%

5. Have you made any of the following processes paper-free? (select all that apply)

Answer Options	WA Response Percent	AIIM Response Percent
HR/Payroll: expenses, timesheets, on-boarding, etc.	45.7%	65.0%
Finance, accounts payable (invoices), accounts receivable (credit control)	21.0%	62.0%
Customer correspondence, help desk	37.0%	61.0%
Contracts, purchasing	17.3%	56.0%
Internal processes, e.g., approvals, draft reviews, etc.	49.4%	55.0%
Case files, claims, investigations, consultations	16.0%	42.0%
Citizen benefits, permits, tax, etc.	7.4%	22.0%
We have no paper-free work processes	17.3%	0.0%

6. How are these paper-free processes being implemented and interfaced?

Answer Options	WA Response Percent	AIIM Response Percent
Standard feature of a purchased application	30.5%	37.0%
E-mail routing	52.5%	
As part of an integrated ECM suite	13.6%	29.0%
Developed/assembled in-house largely as a one-off	23.7%	27.0%
Outsourced/Software as a service	18.6%	5.0%

7. What were the main difficulties you encountered in these projects? (select all that apply)

Answer Options	WA Response Percent	AIIM Response Percent
Re-orientating staff/change management	58.9%	44.0%
Integration with other systems	39.3%	43.0%
Defining the process clearly	48.2%	42.0%
Convincing management - making the business case	17.9%	32.0%
Dealing with exceptions/workflow flexibility	23.2%	25.0%
Convincing legal/compliance/finance that paper-free is OK	16.1%	24.0%
Time taken to get up and running	35.7%	23.0%
Measuring the overall improvements	17.9%	17.0%

8. What have been the biggest benefits of your paper-free projects? (Choose no more than three)

Answer Options	WA Response Percent	AIIM Response Percent
Better records for audit trail or compliance	43.6%	53.0%
Faster customer response	65.5%	50.0%
Better monitoring of status and workloads	41.8%	40.0%
Reduced staff resource	41.8%	37.0%
Fewer errors	25.5%	31.0%
Better management of exceptions	1.8%	16.0%
Improved ability to outsource or load-share	3.6%	9.0%

9. Overall, what would you say has generally been the payback period for these paper-free process projects?

Answer Options	WA Response Percent	AIIM Response Percent
3 months	25.6%	7.0%
6 months	14.0%	14.0%
12 months	37.2%	29.0%
18 months	9.3%	15.0%
2 years	9.3%	19.0%
3 years	0.0%	4.0%
More than 3 years	4.7%	11.0%

Appendix 5 – Findings and Recommendations

FINDINGS

1. The State Records Center is about 15-tmes more cost-effective compared to storing agencies records in office buildings.

2. Statutes governing digital and electronic signatures and statutes requiring manual signatures are impediments to conducting more transactions online.

3. Imaging systems and born-digital electronic workflow systems require an upfront investment of staff time and money, and require periodic investments of both time and money into the future.

4. Even if imaging systems and enterprise content management systems cost more than using and storing paper records, there are good customer service and business reasons to replace paper-based systems with digital ones.

5. If there is a genuine question as to the authenticity of a duplicate copy, the federal and state Rules of Evidence provide: "To prove the content of a writing, recording, or photograph, the original writing, recording, or photograph is required …"

6. Almost every state employee works with a PC or laptop, or both, generating a growing volume of electronic records that are more difficult to search and manage, increasing staff time searching for records and increasing the likelihood of not fully responding to public records requests.

7. The greater deployment of imaging systems, born-digital electronic workflow systems, and enterprise content management systems throughout state government will requirement culture changes and leadership and executive sponsorship.

8. Many state agencies with dispersed geographical locations often lack sufficient bandwidth to convert all paper transactions to digital.

9. The need to protect sensitive data often prevents the deployment of digital solutions to mobile devices such as cell phones, tablets and laptop, or sharing such data between remote locations across the Internet.

10. Cost is often an obstacle for state agencies to deploy an Enterprise Content Management System (ECM).

11. The current six-year retention period for many paper fiscal records is driven by the three year audit cycle and the need to retain paper contracts until the statute of limitations has passed.

RECOMMENDATIONS

1. Imaging and Enterprise Content Management (ECM) systems should be standardized within state government so they can be deployed across multiple agencies of varying sizes.

2. Reducing the retention periods in the State Government General Records Retention Schedule would reduce the paper held by all state agencies.

3. Deploying Enterprise Content Management (ECM) systems throughout state government would reduce staff time spent searching for records, and would reduce the costs of litigation and fines resulting from the failure to meet public records requests in a complete and timely manner.

4. Archival appraisals and decisions should be made "up-front" when a record retention schedule is being developed avoiding future "appraisal required" and speeding up the shredding of records scheduled for destruction.

5. State agencies should have greater online access to data about their records being stored at the Records Center.

6. The definition and classification of official public records in RCW 40.14.010 should be updated and simplified.

7. To facilitate the imaging of paper records, implementation of content management systems across the enterprise, and have records be "born" digital, many state agencies will have to increase their bandwidth.

8. ECM systems and agency applications deployed over a Wide Area Network (WAN), or the use of mobile devices in field operations, will require technology to secure the hardware and all sensitive data stored on it.

9. State Government needs to continue vetting and procuring ECM systems that capitalize on economies of scale, including partnering with local government and other state governments to contract for cost-effective ECM solutions.

10. While it may not be practical to reduce the current six-year retention period for many paper fiscal records, state agencies should be encouraged to use "scan-and-toss" imaging technologies now permitted by OFM, the State Auditor and the State Archives.

Office of the Secretary of State
Washington State Archives

Appendix 6 – Records Retention Schedule Approval Process

State Agency	Washington State Archives	State Records Committee

Develop New / Revise Existing Retention Schedule ↔ Provide Advice / Feedback

Review Deadline: 15th of January – April – July – October

Submit Retention Schedule →

Archives Review
- Determine Archival Designations
- Consistency with existing approvals
- Review formatting / grammar / clarity

Make Corrections (if necessary)

Agenda Deadline: 1st Wednesday of February – May – August – November

Incorporate into Next SRC Agenda Packet → Receive Agenda Packets

Review Retention Schedules

Provide Additional Information (if necessary) ← Provide Advice / Feedback ← Seek Further Information (if necessary) Prior to SRC Meeting

SRC Meeting: 1st Wednesday of March – June – September – December

Provide Additional Information (if necessary) ← Provide Advice / Feedback ← Seek Further Information (if necessary) During SRC Meeting

Implement Retention Schedules

Retain SRC records and send copy to agency

Approve / Modify / Disapprove Retention Schedules