The Hardcopy Nightmare!
The Problems and Pitfalls of Legacy Documentation

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Agenda
- In the last decade...
- What is a Record?
- Storage Systems - Environmental and Physical Hazards
- Risk Mitigation
- Strategies for Success

In the last Decade...
Entered a New Era of Information Management:
- Electronic Document Management Systems
- Widespread use of scanning technologies
- Electronic documents increased by a factor of 25
- Filing clerks have been reduced by 95%
- Hardcopy documentation has reduced by a factor of 3

The Hardcopy Nightmare
- The average document is copied 19 times and each costs £14 to file
- 7.5% of all documents get lost and 3% of the remainder are misfiled
- It costs £80 to find a misfiled document/£150 to reproduce a lost one
- A 4-drawer file cabinet costs £17,000 to fill & £1,500/year to maintain
- People waste ~6 weeks per year trying to find mislabelled, misfiled or misplaced documents

Coopers and Lybrand, INC Magazine (1996)

Shell Study (1998)
- Meetings 9%
- Coffee breaks 5%
- Vacation 8%
- Useful Work 18%
- Training 4%

Source: Shell Study Published in SPE Review May 1998
**WHAT IS A RECORD?**

A “Record” is...

Any information created, received, and maintained as evidence and information by the organisation (and its employees) in pursuance of its legal obligations or business transactions

(ISO 15489)

Media independent…

**Records Management is…**

the efficient & systematic control of the creation, receipt, maintenance, storage, use, and disposition (destruction) of records

**Records Management is…**

- Knowing what you’ve got
- Knowing where it is
- Knowing who has it
- Knowing where to go find it when you need it
- Knowing how long you need to keep it for.

**The Record Management Lifecycle**

The Record Management Lifecycle

Create

Destroy

(Or Archive)

Use

Store and Retain

**Records Retention (1)**

There are many reasons why people retain records:

- It takes time to sort them out and weed them
- It takes time to throw them away
- They may be kept 'just in case'
- No-one has decided what can be thrown away, or when
The proper reasons for retaining records should be:
- To comply with legal requirements
- To protect against litigation
- To support decision making
- To improve performance
- To document activities and decisions
- To provide a 'long-term' corporate memory

The reasons why records should be destroyed:
- It costs money to store records indefinitely
- It takes administrative effort to manage stored files
- If you retain them, you may need to produce them
- It takes up valuable office space and staff resources

There are three approaches to keeping records:
- Retain all records
- Manage records on an ad-hoc basis
- Have an approved 'fit-for-purpose' retention and disposal policy (and follow it!!!)

Examples of Environmental and Physical Hazards

...Some statistics
- Three quarters have experienced difficulties in locating records
- 40% had no documented procedures for filing records
- 50% had no guidelines for records management
- Over 50% have no inventory for their active records
- 80% unaware of Records Retention Policy
- Only 20% have had sufficient records management training
- Multiple (40+) different physical filing systems
- Multiple Copies of Key Electronic Documents
- More material held on site than they have the capacity to cope with
- 10,000 staff with 4m of filing each = 40km of paper files!!!

...all too often the same mess exists with electronic records....
...its just less visible!
STRATEGIES FOR SUCCESS

- Roles and responsibilities
- Policies and standards
- Systems and services
- Procedures and guidelines
- Information, education and training

- Take control of your physical records
- Rationalise them

The Key Questions?

Records Creation

- Are you creating the right records?
- Are the right people creating them?
- Are they created in an appropriate format?
- Are they designed appropriately?
- Are versions controlled?
- Are they described in the right way?

Records Maintenance & Use

- Do the right people have access to the right records at the right time?
- Are records easy to locate and retrieve?
- Are they stored securely and backed-up appropriately?
- Are they only kept as long as they are required?

Records Destruction/Disposition

- Do you have a policy that sets out how long you should keep your records?
- Do you have procedures for controlling the appraisal and disposal of these records?
- Can you identify archival records and do you treat them accordingly?
- Do you dispose of your records appropriately?
Are your Vital Records safe and secure?

Stage 1 – High Level Records/Space Audit
- Identify your current position, quantify the problem and define recommendations for improvement and potential ‘quick wins’

Stage 2 – Rationalisation, Cataloguing & Data Reduction
- Implementing the recommendations. Techniques may include rationalisation, cataloguing, indexing, weeding, re-filing, scanning, repackaging and/or offsite storage

How do I Reduce the Paper Mountain?

Prepare a List of Changes

Draft Recommendations/Report

Determine Benefits and Cost

Prepare Presentations
Determine Activities

Prepare Detailed Action Plan(s)

The Benefits

- Reduce the on-site Paper Mountain
- Ensure corporate accountability
- Provide legal compliance
- Increased administrative efficiency
- Reduced running costs
- Support business continuity
- Knowledge management
- 'Long-term' memory

What does 'success' look like?

Signs of Success (1)

- Visible high-level support and leadership for a RM Programme.
- Clear and appropriate delegation of responsibility for action.
- A comprehensive set of records management policies and procedures.
- The Programme covers all records in all media and all locations.
- Records management is integrated into business processes.

Signs of Success (2)

- All business activities are properly documented.
- The use of record-keeping systems is routinely monitored.
- Compliance with policies and procedures is regularly checked.
- There are effective enforcement mechanisms.
- Documents which need to be retained as records are promptly captured into official record-keeping systems.
Signs of Success (3)

- Record-keeping systems are
  - ‘retention conscious’ ...
  - ... and ‘disclosure-conscious’
- All staff are properly trained to carry out their records management responsibilities.
- Overall performance of the Programme is measured, monitored and communicated.

RM success depends on …

- Senior management support
- Effective partnerships
- Making records management routine
- Enforcement where necessary

Success!

Managing records is simply part of “the way we do things around here”

Thank you!