



The Power of Information

**Driving organisational performance
through effective knowledge
management**



Many Hands Make Light Work: Devolved recordkeeping at Department of Education

Jonathan Toquero

Manager Corporate Information Services
Department of Education



Department of Education

*Many Hands Make Light Work –
Devolving Records Management at DOE*

Many hands make light work – a case study of the devolution of records management at the Department of Education

Presenter: Jonathan Toquero

Manager Corporate Information Services

Department of Education (WA)



Many hands make light work

Meaning: Large tasks become small when divided among several people

Connotations of:

- **Teamwork and cooperation**
- **Leadership and guidance**
- **Clarity of roles and responsibilities**
- **Training and support**
- **Synergy**
- **Achievement**



Content

1. Background and context
2. Past – where we started in 2004
3. Catalysts for change
4. D Evolution – how we got here
 - Rationalisation of services
 - New branch structure
 - Governance framework
 - EDRMS - our key to devolution
5. Results – things that make me smile
6. Lessons learnt



Background and context

1. **40,000+ staff and contractors**
2. **1000+ worksites across WA**
3. **Various maturity levels in RM – from paper to “paperless”**
4. **TRIM is the only EDRMS since 1998 and not available in schools ... yet**
5. **Size of department makes any major changes costly and slow**
6. **Corporate Information Services (CIS) is 5th tier down the organisational hierarchy and not in the front line, so not easy to get resources.**



Past - where we started in 2004

- 1. Previously called Records Management and Library Services (RMLS)**
- 2. Lots of “busy work” in RMLS – mail opening, trolley runs, mail attachment, scanning, indexing**
- 3. 42 staff - most were Level 1s and 2s**
- 4. Minimal disposal of records was done; rapidly building paper collection**
- 5. Low status in the Department – “dumping ground” and difficult to attract and retain professionals**
- 6. DOE could not comply with SRA – RM regulatory framework was not well managed; no training of staff in RM; schools and regional office were on their own exposing the Department to breaches**
- 7. No alternative to shared drives and no restriction to email size, so they grew uncontrollably**

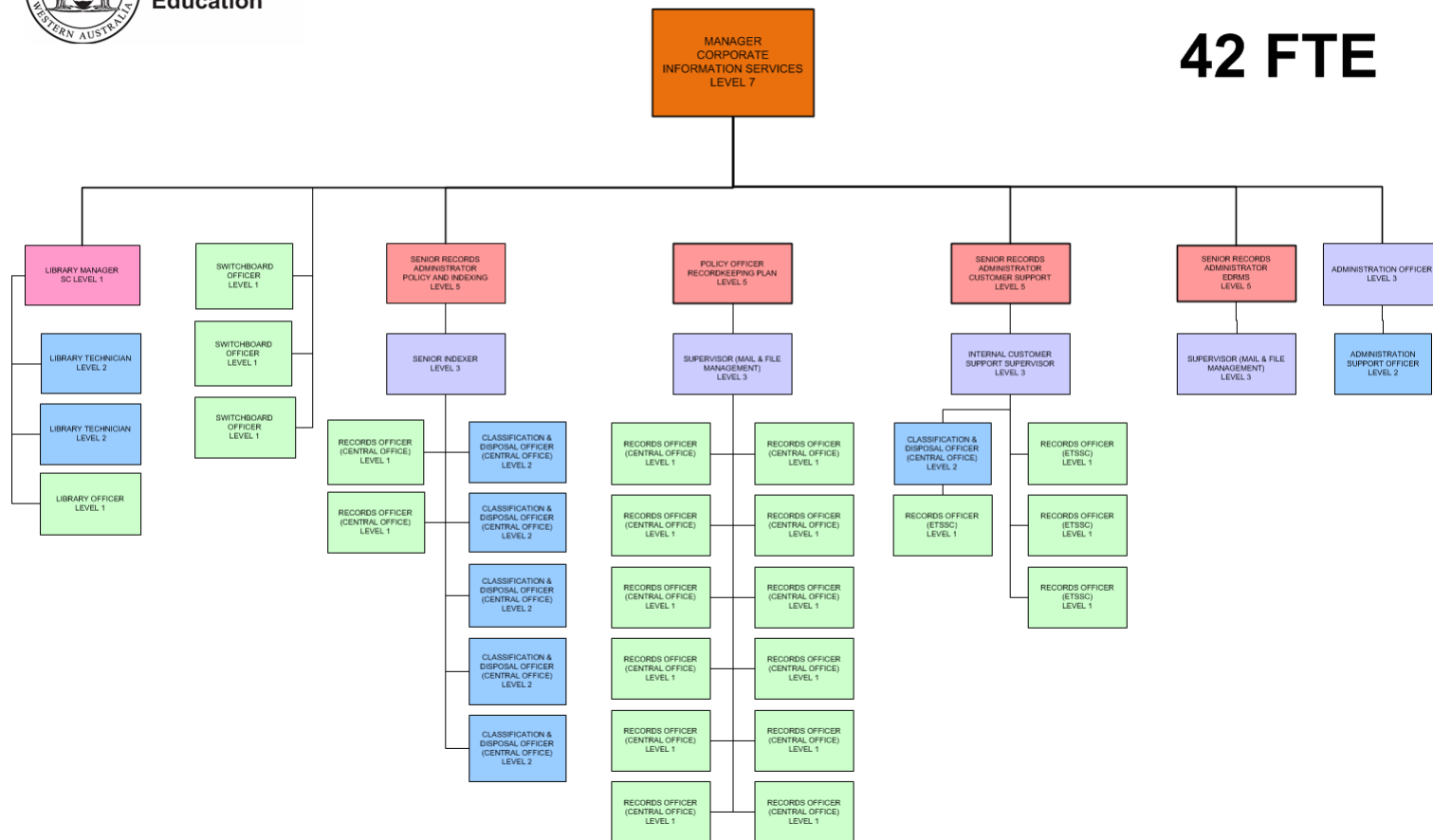


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RECORDS MANAGEMENT AND LIBRARY SERVICES

ORGANISATIONAL STRUCTURE PRE-2005

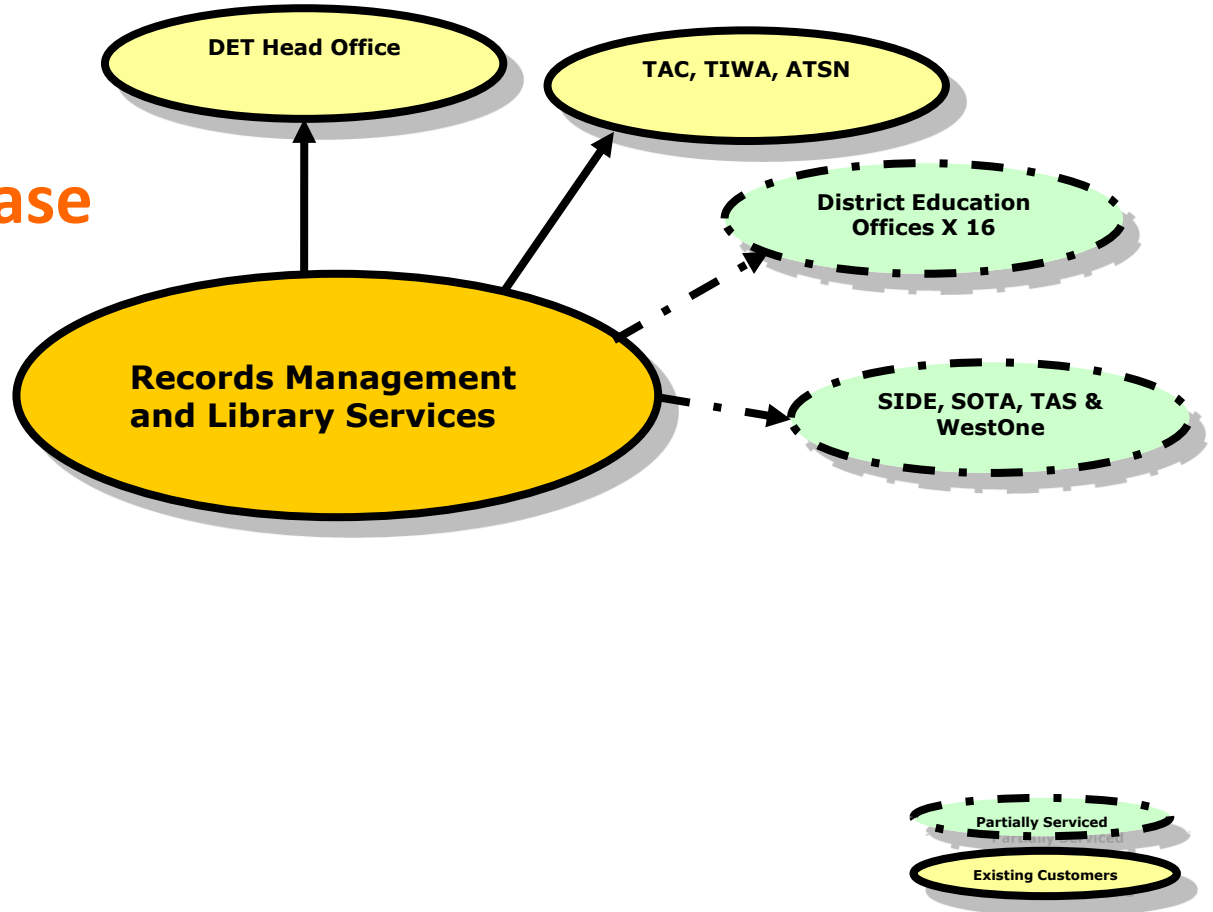
42 FTE





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Past Customer Base





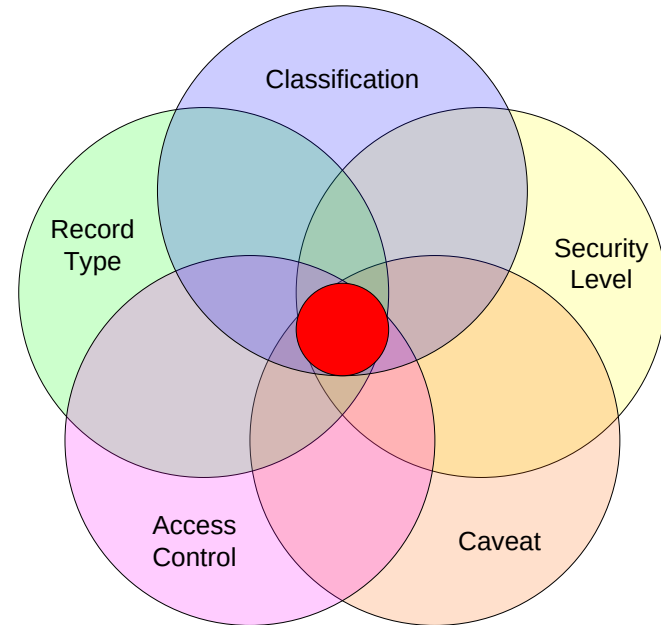
Past - EDRMS

1. Pre 2008 - registered about 130,000 documents a year
2. DET had two instances of TRIM following merger in 2003
3. Centralised TRIM folder creation – too slow, guesswork
4. 5,300+ retention and disposal codes – many duplicates, nightmare to update
5. 73 record types – too many choices, some overlap
6. Security model too complex; cumbersome; unexplainable; unpredictable and not transparent to users NOT secure
7. Users hated using TRIM



Past DoE Security Model

- **We used everything!**
- **Big mistake as too complicated to explain and predict security.**
- **We had 3 staff updating security groups and permissions.**





Catalyst for change 2004-2008

- **New manager with RM and IT background**
- **Merging two TRIMs into one**
- **Budget and staff cuts**
- **Establishment of ETSSC (shared services)**
- **RKP Compliance requirements**
- **General frustration with managing paper**
- **Bad publicity**



6 Steps to decentralise RM at DoE

1. **Created a vision** — all staff are responsible for their own record keeping
2. **Rationalised RM services** — give away “doing” services and associated staff
3. **Simplified TRIM configuration** — simple, standard and scalable solution
4. **Created support model** — “teach a man to fish ...”, user training, help desk support, escalation matrix, documentation
5. **Created monitoring and compliance model** — “you can’t manage what you don’t measure”, establish governance framework and audit program
6. **Expanded services** — project approach to expansion



Proposed New Business Model

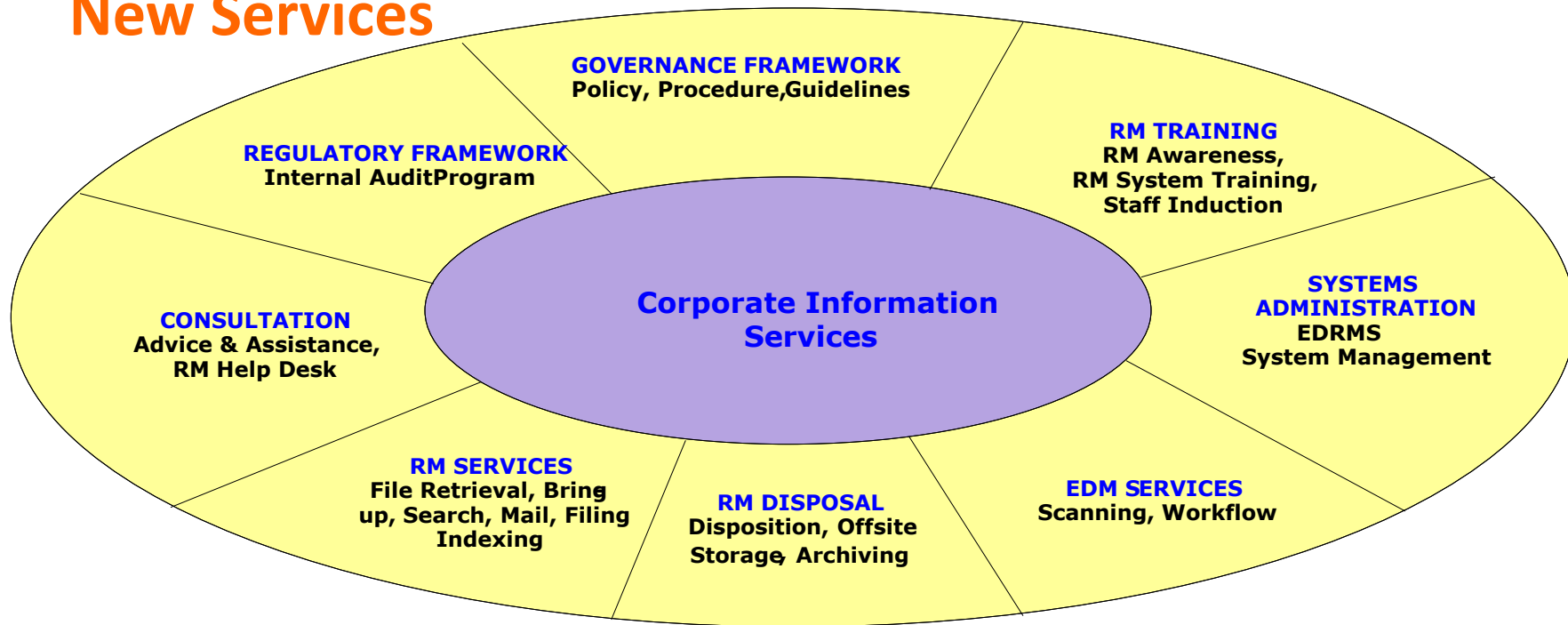
- **Expand customer base**
- **Decentralised recordkeeping to staff**
- **Change role from “doing” to “advising”**
- **Reconfigure TRIM to be user centric**



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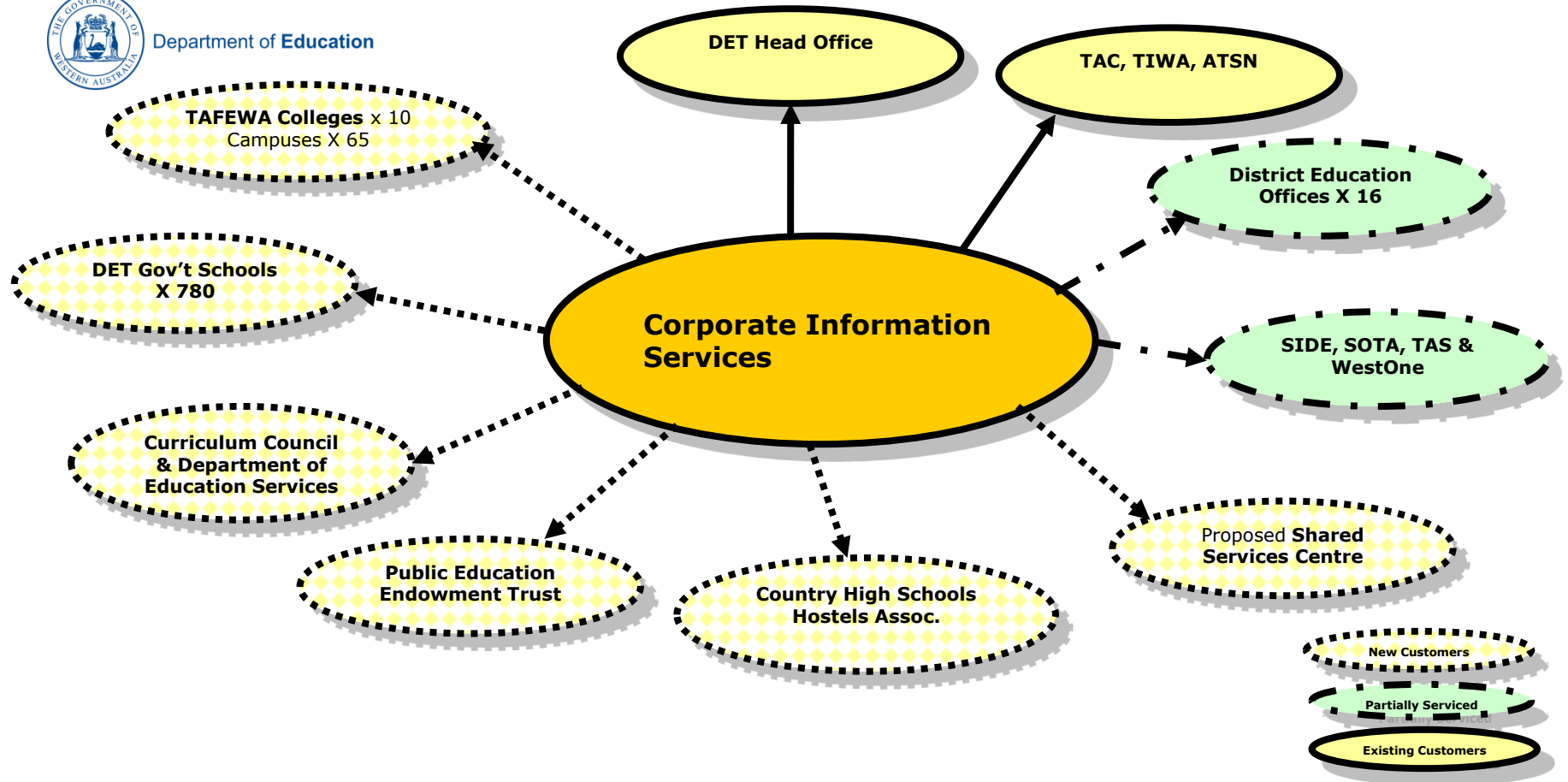
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New Services





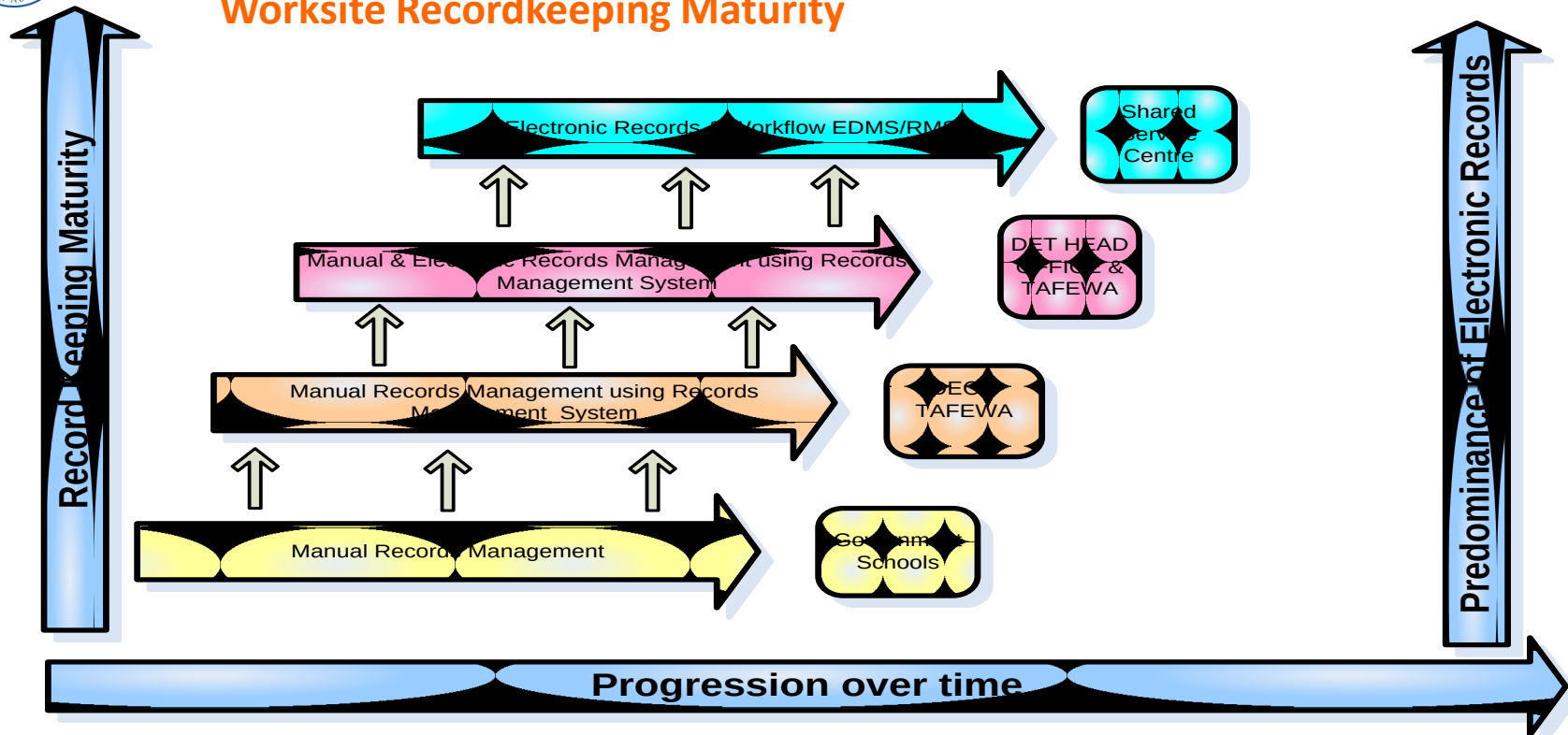
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Worksite Recordkeeping Maturity



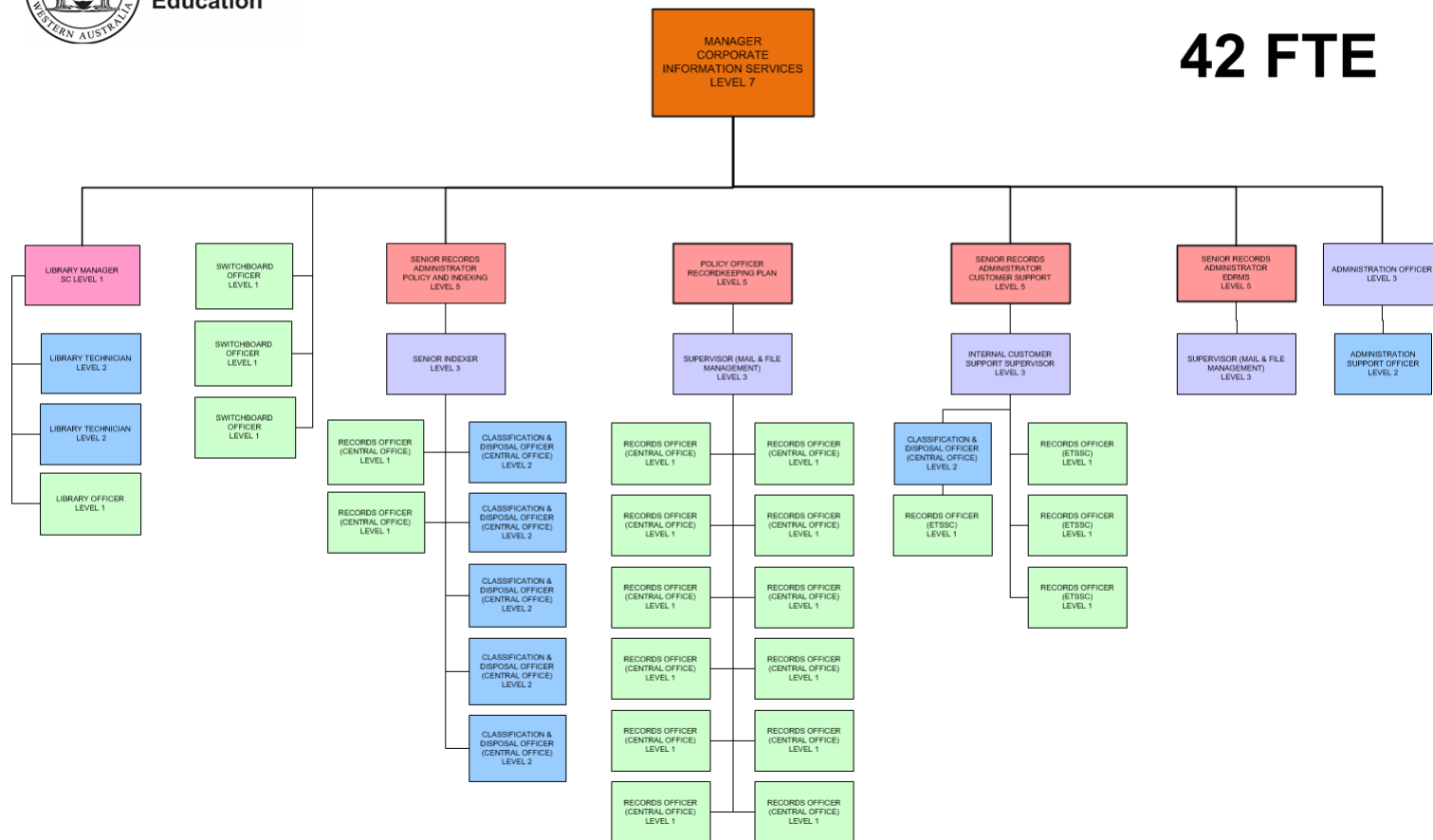


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RECORDS MANAGEMENT AND LIBRARY SERVICES

ORGANISATIONAL STRUCTURE PRE-2005

42 FTE

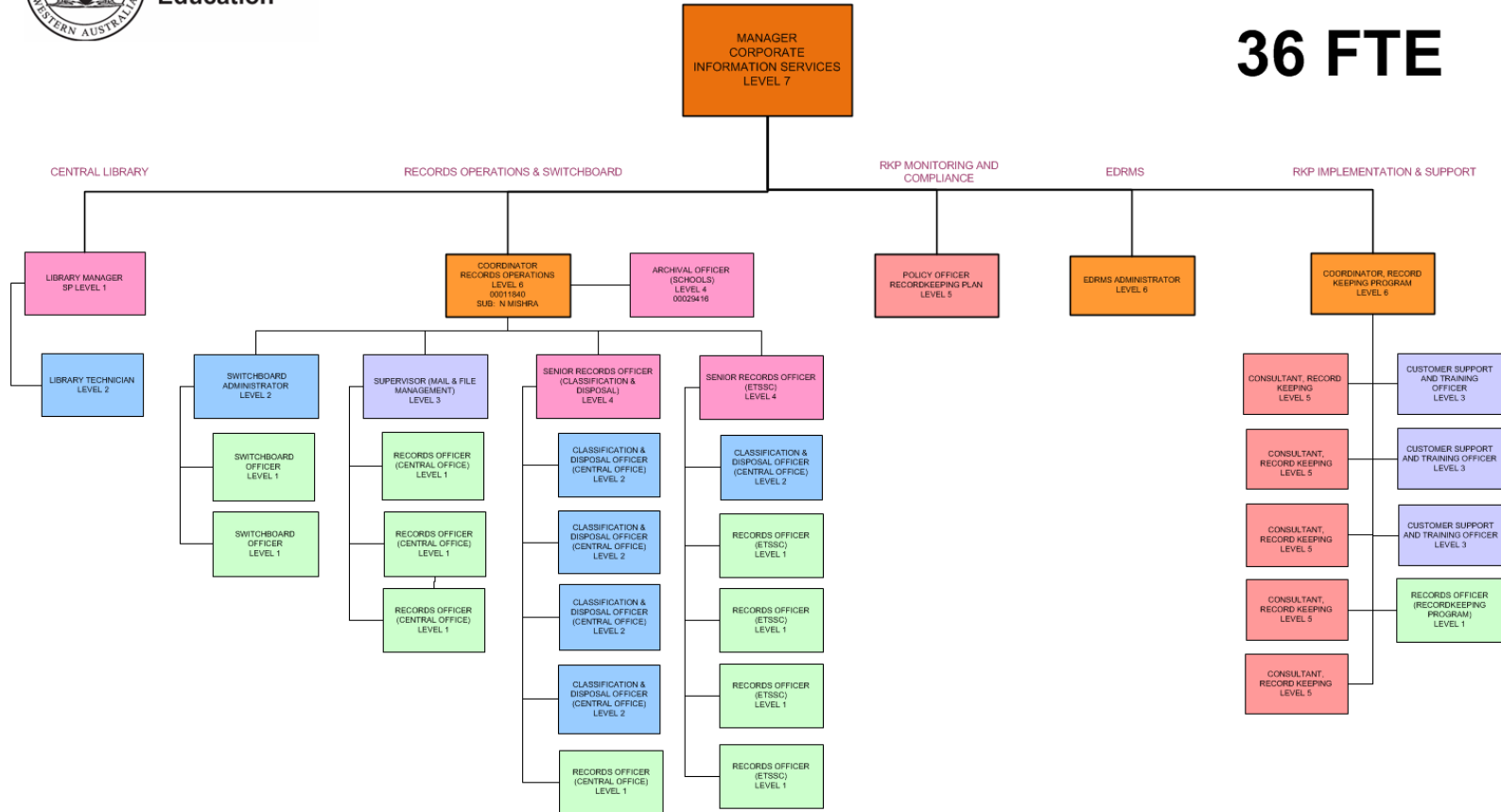




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Education

CORPORATE INFORMATION SERVICES (CIS) ORGANISATIONAL STRUCTURE 2005-2012

36 FTE

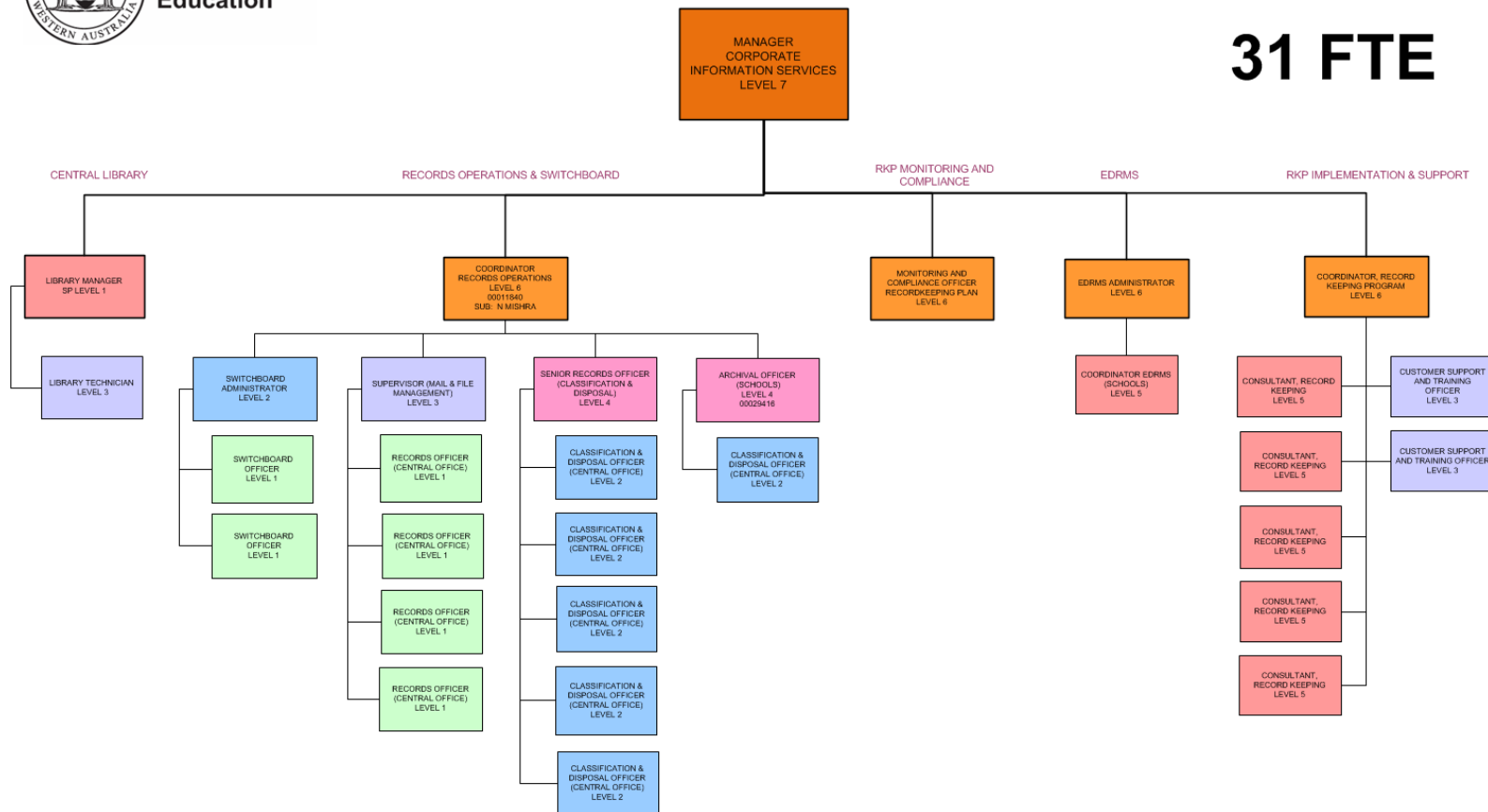




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CORPORATE INFORMATION SERVICES (CIS) ORGANISATIONAL STRUCTURE 2005-2012

31 FTE





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Classification	Pay Rate GA6	Pre-2005 FTE	Pre-2005 Cost	2005-12 FTE	2005-12 Cost	Proposed FTE	Proposed Cost
Level 7	\$ 114,897.00	1	\$ 114,897.00	1	\$ 114,897.00	1	\$ 114,897.00
Level 6	\$ 101,517.00		\$ -	3	\$ 304,551.00	4	\$ 406,068.00
Level 5	\$ 87,070.00	4	\$ 348,280.00	6	\$ 522,420.00	6	\$ 522,420.00
Specified Calling	\$ 84,805.00	1	\$ 84,805.00	1	\$ 84,805.00	1	\$ 84,805.00
Level 4	\$ 74,845.00		\$ -	3	\$ 224,535.00	2	\$ 149,690.00
Level 3	\$ 68,287.00	5	\$ 341,435.00	4	\$ 273,148.00	4	\$ 273,148.00
Level 2	\$ 59,523.00	9	\$ 535,707.00	7	\$ 416,661.00	7	\$ 416,661.00
Level 1	\$ 53,150.00	22	\$ 1,169,300.00	11	\$ 584,650.00	6	\$ 318,900.00
		42	\$ 2,594,424.00	36	\$ 2,525,667.00	31	\$ 2,286,589.00

Reduction of 11 FTE and \$300k while adding value and reducing risks



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RM Governance Framework

- Mapped out internal regulatory documents with SRC standards and principles
- All have consistent message that “All staff are responsible for their own recordkeeping”.

Education Agencies RecordKeeping Plan RKP 2011039 - Approved Date: 7 March 2012

STATE RECORDS PRINCIPLES AND STANDARDS COMPLIANCE 2002 (STATE RECORDS ACT 2000)

PRINCIPLES	SRC Standard 2 P1 Proper & Adequate Records	SRC Standard 2 P2 Policies & Procedures	SRC Standard 2 P3 Language Control	SRC Standard 2 & 7 P4 Preservation	SRC Standard 2 P5 Retention & Disposal	SRC Standard 2 P6 Compliance	SRC Standard 6 Outsourcing	SRC Standard 7 Storage of State Archives	SRC Standard 8 Digital RecordKeeping
POLICIES	Overarching RM Policy EAT (CC/DES) Series Pg 5 - 11 October 2005 DO05/17685	DoE RM Policy March 2010 D1/0208832							
	Enrolment Policy Sec 3.5 Enrol. Records May 2013	FOI Act 1992 Access to Docs & Procedures							
	Attendance Policy Sec 4.1 May 2011	Enrolment Policy Sec 3.1 - Enrol Records May 2013							
	OSH Sec. 4.2 April 2013	Attendance Policy Sec. 4.1 May 2011							
	Student Health Care 2011 Sec. 4.3	OSH Sec. 4.2 April 2013							
	Sch Edu. Regulations 2000 Part 2	Student Health Care 2011 Sec. 4.3							
	PSMA 1994 S29 (v)	Sch Edu. Regulations 2000 Part 2							
		PSMA 1994 S29 (v)							
PROCEDURES	DoE Corporate Information Services Records Management Manual September 2010 D10/0267671	DoE File Plan DO07/269730	School DMP DO07/11939 Appendix F	Education Agencies RAD August 2013 DO05/135037 D13/0251462	RecordKeeping KPIs October 2005 DO05/135037 (On Hold)				
	RM Manual for School, Colleges, Campuses December 2010 DO07/11939	School Records Classification System & Subject Index DO09/091322	DMP DoE Central Offices, Education Regional Offices (ERO's) D10/0227706 - Appendix C	School College Campus Records RAD DO06/177314 Approved December 2007	RecordKeeping Awareness Training (On-need)				
	RM Manual for TRIM Workbooks (Business Units other than Schools) D10/0227706		DMP CC/DES	Reentering Records: Implementing a Revised General Disposal Authority (2010) - SRO	RK Section in Annual Report F09/0087686				
	Overarching Standard Operating Procedures September 2005 DO06/135030		ICT IT Disaster Recovery Plan (Owner - ICT)		TRIM Training (On going)				
	HP TRIM T.1 Checklists & Instructions July 2013 F13/0032525				Central Office Induction (On going) Monthly RK responsibilities Information Sheet TRIM Ref: D11/0726330				
	Freedom of Information Procedures Manual October 2005 Policies website				RK Awareness Induction brochure for Non-Admin/Non Teaching Staff D12/0851753				
GUIDELINES	State Records Commission SRC - Principles & Standards	State Records Commission SRC - Principles & Standards	State Records Commission SRC - Principles & Standards	State Records Commission SRC - Principles & Standards	State Records Commission SRC - Principles & Standards	State Records Commission SRC - Principles & Standards	State Records Commission SRC - Principles & Standards	SRO Guidelines Management of Digital Records (2008) Management of Email Records (2009) Sanitising Digital Media and Devices (2008, revised 2011)	
	AS 15489.1 2002 Sec 5 Regulatory Environment TRIM Ref: D02/14468	State Records Office Policies & Standards Manual 2002	AS 15489.1 2002 Sec 9.6 Classification TRIM Ref: D02/14468	AS 15489.1 2002 Sec 9.6 Storage & Handling TRIM Ref: D02/14468	AS 15489.1 2002 Sec 9.3 Disposition TRIM Ref: D02/14468	AS 15489.1 2002 Sec 10 & 11 Monitoring & Auditing Training TRIM Ref: D02/14468	AS 15489.1 2002 Sec 10 & 11 Monitoring & Auditing Training TRIM Ref: D02/14468		
		AS 15489.1 2002 Sec 6 Policy & Responsibilities TRIM Ref: D02/14468							

RKP Policies, Procedures,
Guidelines & Standards Matrix
TRIM Ref: DO8/0102709

RKP
Amended RKP 2012037 approved 7 December 2012 to include CC to SCSA functional changes
Amended RKP 2013027 approved 2 August 2013 to include Teachers Registration Board (TRB)

KEY		
Completed	On Hold	Aust. Standards 15489.1 2002
Ongoing	Proposed	
Under review	ICT	
To be reviewed	SRC Principles & Standards	
	SRO Publications	

Note: Dates under each policy is the approval date

Last Updated: August 2014



New EDRMS - Simplified TRIM configuration

- 1. Less User Profiles** – Only 4 User Profiles
- 2. Simpler TRIM User interface** – bare minimum entry fields for minimum intervention, locked down for support reasons
- 3. Easier to create records** – minimal fields required, mainly need title and container, make it more difficult to manage paper records
- 4. Simpler TRIM Security Matrix** – Role-based security updated every 5 min from HRMIS; DoE only use access control (Person cannot be in access control); no Security Groups or Caveats or Security Levels; “no” Record Type or Classification
- 5. Disposal sentencing at creation of folders** – DoE only uses last action date as trigger



1. Less user profiles

Four Profiles for Users

1. **Generic User** – can create records, relationships, container, workflows (all staff including managers, DG, lawyers, IR, lawyers, etc.)
2. **FOI, CIS Help Desk Officers** – same as Generic User but with bypass view metadata access control (those that assist people to find records or troubleshoot)
3. **Disposition Officers, CIS Coordinators** – same as Generic Users by with bypass all access control (those that dispose records on behalf of other business units)
4. **Application Protocol Interface Users** – same as TRIM Administrator



2. Simpler TRIM User Interface

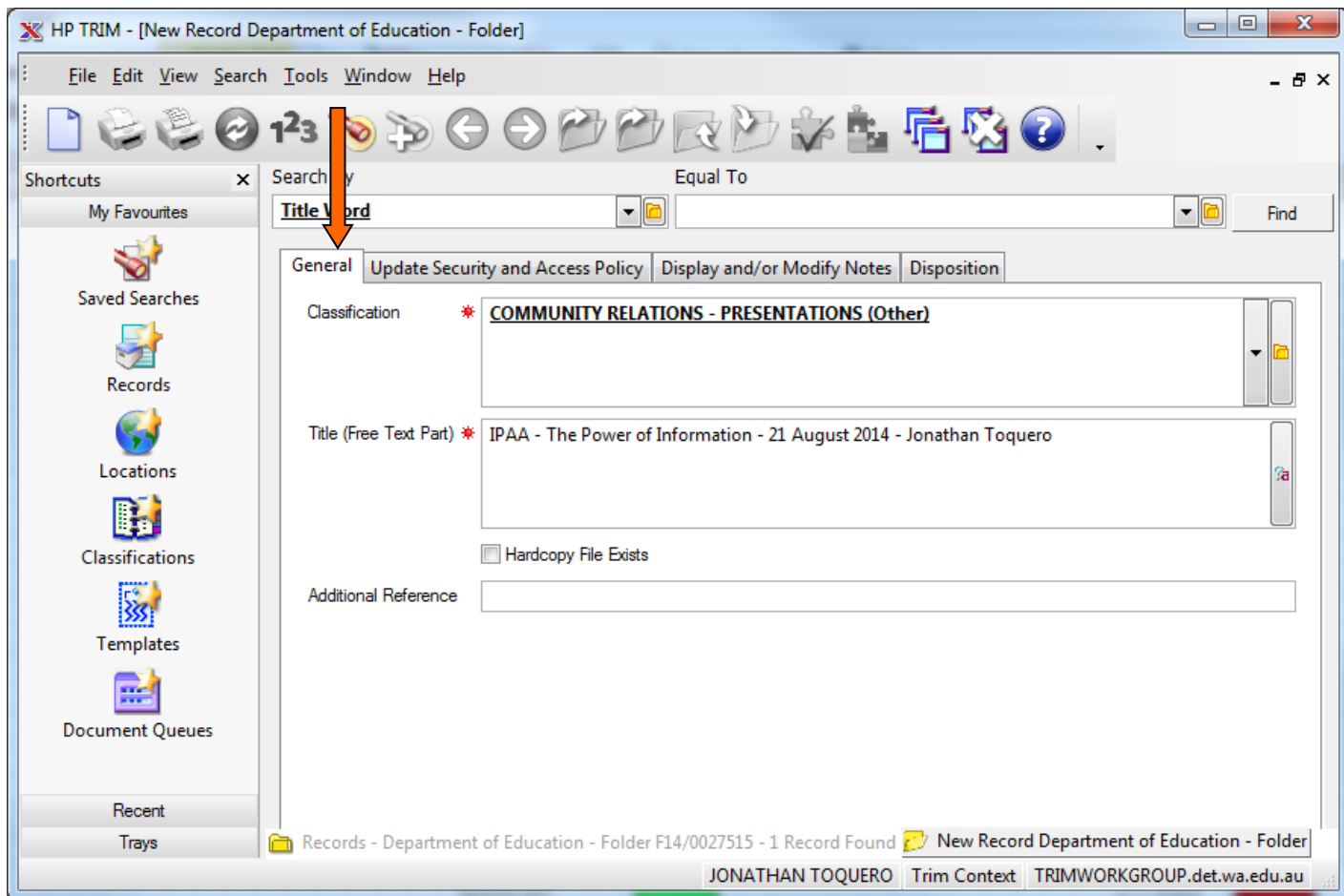
Simplified Menu

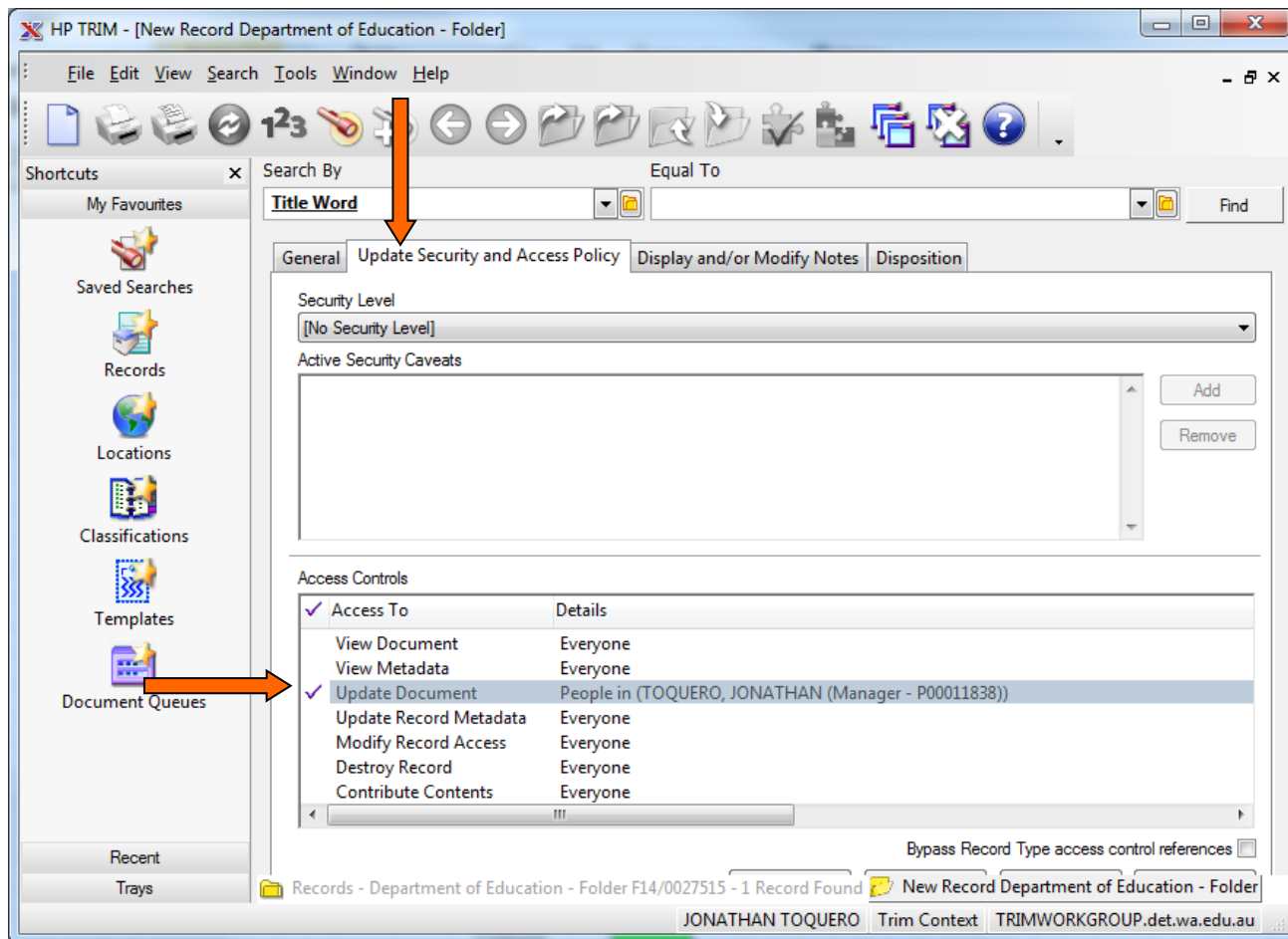
- Removed menu items not being used
- Removed functionality not commonly used
- Locked down View Pane – no user customisations
- “Right mouse click is your new best friend”



3. Easier to create records

- **Creating Folders** – only Classification and Title mandatory; security and notes optional
- **Creating Documents** – only title and container mandatory; security inherits from container; notes optional





HP TRIM - [Records - Department of Education - Folder F14/0027517 - 1 Record Found]

File Edit View Search Tools Window Help

Shortcuts x Search By Equal To

My Favourites

Save Records Locations Classifications Templates Document Queues

Record Type
Record Number
Title
Additional Reference
Storage Box
Enclosed within Folder/Box?
Hardcopy File Exists
Current Location (If Hardcopy)
Default Location (If Hardcopy)
Registered By
Owner Location
Retention Schedule
Date Closed
Disposition
Date Due for Destruction
Related Records
Access Control

Department of Education - Folder
F14/0027517
COMMUNITY RELATIONS - PRESENTATIONS (Other) - IPAA - The Power of Information - 21 August 2014 - Jonathan Toquero

No
No
JONATHAN TOQUERO since Monday, 18 August 2014 at 3:51 PM
ICT Corp Information Services (DOE 7242)
JONATHAN TOQUERO
ICT Corp Information Services (DOE 7242)
DSYALA DESTROY - 5 Year(s) after last Action
Destroy Triggers: Destroy 5 Years after Last Action Date

Active
Click to display

Update Document: People in (TOQUERO, JONATHAN (Manager - P00011838))

Recent
Trays

Properties Notes Preview Previous

Records - Department of Education - Folder F14/0027515 - 1 ... Records - Department of Education - Folder F14/0027517 - 1 ...

JONATHAN TOQUERO Trim Context TRIMWORKGROUP.det.wa.edu.au



4. Simpler TRIM Security Model

Business Rules

- Default is no security, same principle as FOI
- Only Positions and/or Organisations can be in the access control (NOT Persons)
=> Role-based security
- Only change View Metadata and Modify Records Access if you want to secure records
- Documents inherit security from Folder (mandatory containing)
- Only those that are in Modify Records Access can give access (not CIS staff)
- Users' information in the HR System must be correct (TRIM gets update of position change every 5 minutes)

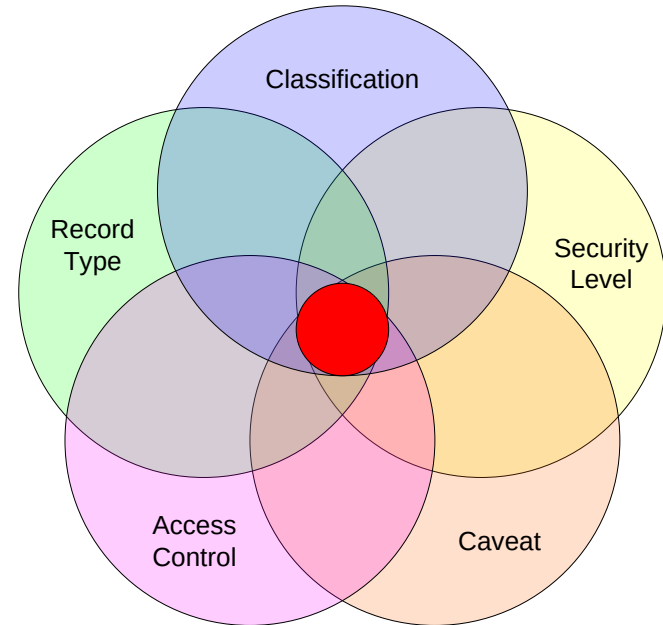


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NEW DoE Security Model

Needed predictable, flexible,
user defined security model.



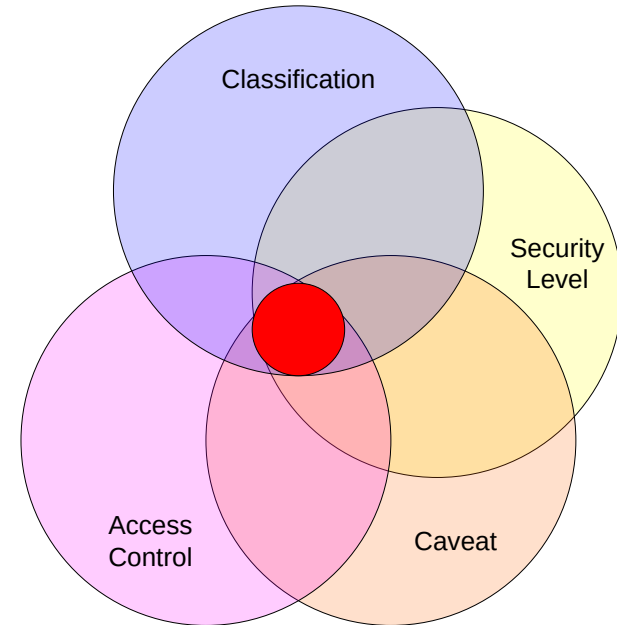


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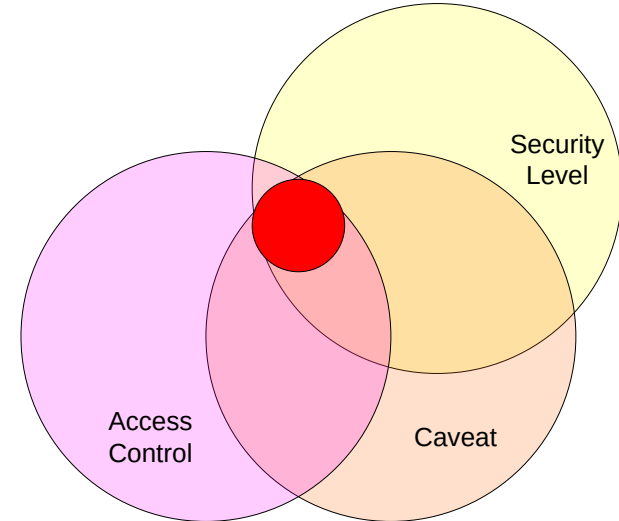


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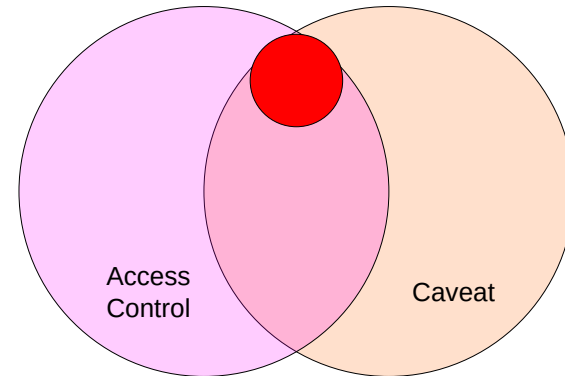


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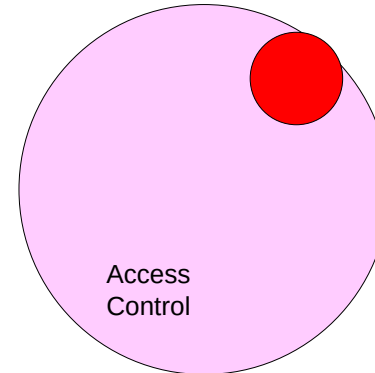


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File Edit View Search Tools Window Help

Shortcuts x Search By Equal To

My Favourites

Saved Searches

Records

Locations

Classifications

Templates

Document Queues

Recent

Trays

Search By

Title Word

Find

✓ Che... Record Num... Title

C:\ F14/0027517 COMMUNITY RELATIONS - PRESENTATIONS (Other) - IPAA - The Power of Information - 21

Record Type

Record Number

Title

Additional Reference

Storage Box

Enclosed within Folder/Box?

Hardcopy File Exists

Current Location (If Hardcopy)

Default Location (If Hardcopy)

Registered By

Owner Location

Retention Schedule

Date Closed

Disposition

Date Due for Destruction

Related Records

Access Control

Department of Education - Folder

F14/0027517

COMMUNITY RELATIONS - PRESENTATIONS (Other) - IPAA - The Power of Information - 21 August 2014 - Jonathan Toquero

No

No

JONATHAN TOQUERO since Monday, 18 August 2014 at 3:51 PM

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JONATHAN TOQUERO

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Properties Notes Preview Previous

Records - Department of Education - Folder F14/0027515 - 1 ... Records - Department of Education - Folder F14/0027517 - 1 ...

JONATHAN TOQUERO Trim Context TRIMWORKGROUP.det.wa.edu.au



5. Disposal sentencing at creation of folder

- Disposal codes attached to classifications
- Scope notes has R&D authority details
- 28 unique codes e.g. D7YALA

HP TRIM - [Records - Department of Education - Folder F14/0027517 - 1 Record Found]

File Edit View Search Tools Window Help

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JONATHAN TOQUERO Trim Context TRIMWORKGROUP.det.wa.edu.au



Budget for TRIM and RKP Compliance

\$380,000 per annum

- **\$115,000 for maintenance of 2000 licenses**
- **\$265,000 balance for compliance and monitoring work, travel, training equipment, TRIM development, systems integration, upgrade, on-site support, etc.**
- **CIS may share cost with business units**



Some Results

1. EDRMS and CIS relatively cheap to run but scalable to cater for important (but funded) needs.
2. All personnel files electronic only since 2000.
3. TRIM security model makes staff movements, restructures and mergers/demergers routine work.
4. Records Awareness Training and TRIM Training mandatory (i.e. no exemption) before access.



Some Results

5. **2013- Mail budget devolved to Schools resulted in immediate reduction in cost.**
6. **Business units fund development work to integrate with TRIM because they recognise the efficiency gains .**
7. **TRIM passed our *Guidelines and Functional Requirements for Records in Business Information Systems* checklist, no other system has – business case for integration.**
8. **2012 – CIS assisted State-wide Services Directorate to establish its own Records Management Unit with 6 FTE to better manage Student Psychology Files and save lives.**
9. **We can now establish a project to provide EDRMS to schools because we have the system and support structure that can scale up.**



Things that make me smile

- **Presentation opportunities – better professional standing**
- **Post boxes – self-service minimises busy work**
- **Role based security in EDRMS**
- **Requests for workflows and systems integration with EDRMS**
- **Being able to delegate complex problems to RM Consultants or back to the business units.**
- **RKP Compliance Baseline Audits and signing work agreements with business units after Baseline Audits**
- **No more “dumping ground” – recognition of higher value**
- **Low cost solutions**



Lessons learnt

1. Have a clear vision and be convincing
2. Use disasters effectively to get management buy-in
 - Must get CEO/Commissioner backing to clear roadblocks
3. Build in “elegant simplicity” in RM
 - Design standard, simple and scalable solutions, e.g.
 - R&D schedule in TRIM
 - Classifications in TRIM
 - ITIL methodology for service delivery and support of TRIM
 - HRMIS-TRIM integration for locations and access control
 - Disposal of record in TRIM



Lessons learnt

4. Take a risk management approach, e.g.
 - Print and file within non-EDRMS sites
 - Scanning of source records greater than 5 years
 - File creation - prepare to lose a battle to win the war
5. Decentralised work, central control
 - Monitoring and compliance role
 - Consultancy, training and support roles
6. Support RM devolution in all relevant regulatory framework



Lessons learnt

7. Use early successes effectively to give proof of concept and testimonials
 - Workflows in ETSSC and Director General Office
 - TRIM-Oscar (complaints management system) integration
 - Ministerial services BPR
 - Apprentice Centre RM Unit
8. Get the right people



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Questions?

Jonathan Toquero

Manager, Corporate Information Services

Department of Education

08 9264 4361

jonathan.toquero@education.wa.edu.au

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