Louisiana DOTD
Records and Information Management Program

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Some Facts about LADOTD Records

- Almost ten linear miles of physical records are managed in dozens of locations around the state (though primarily at HQ)
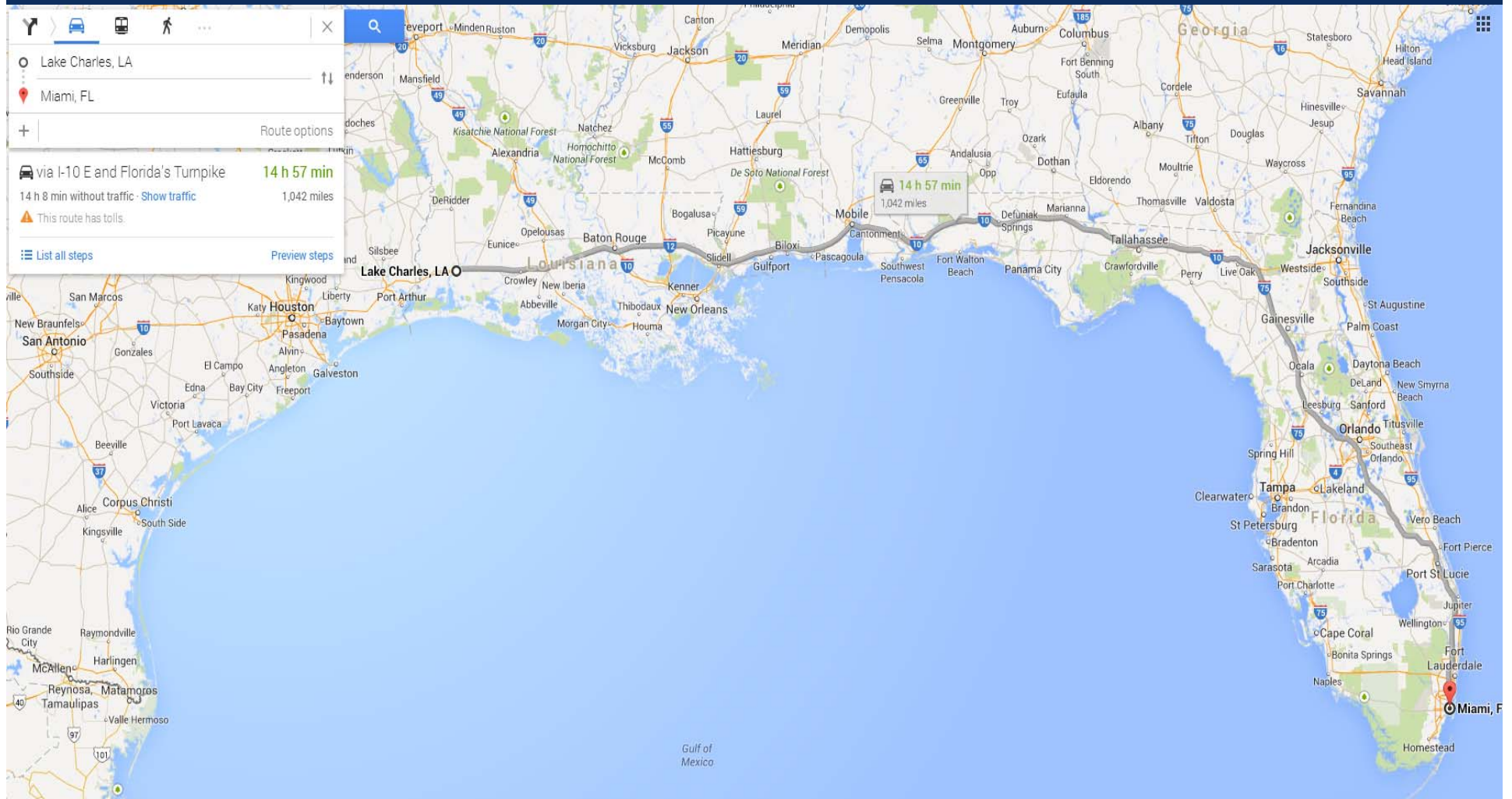
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50 Eiffel Towers

Some Facts about LADOTD Records

- Over 55,000 reels of microfilm

Microfilm

Some Facts about LADOTD Records

- Over 9 million electronic records on file shares (9.3 TB)
    - 18% are duplicates
    - Almost a third of electronic file space contains images
    - Records are stored on 24 different content management systems

LADOTD's Records Program Objectives

- LADOTD recognizes the value of improving its records program

- On a path to build a world-class program
  - Policies and procedures supporting best practices
  - Support structure for training and education
  - Cost effective archival practices
  - Organization-wide use of electronic records repositories
  - Efficient search and retrieval of records
  - Customer focused public records request process
  - Work environment less dependent on paper

LADOTD's Journey

- Initial program assessment conducted in 2010
  - Understand the starting state of the program
  - Implement early-win improvements

- Program improvement project continued in 2013/14
  - Implementing information governance improvements (in progress)
  - Will implement technology improvements (next stage)

Early State of the Records Program

- Policies and Procedures
  - Policies and processes existed, but not much awareness
  - Documentation available on the intranet, but no formal training
  - Retention policy developed, but not always followed

- Find-ability of Records
  - Independent standards for classification by Section
  - Where practiced, records indexing is sufficiently comprehensive
  - However, indexing for most records is minimal
  - Systems largely not used for retrieval – reliance on emails and phone calls
  - Many hardcopy duplicate records kept for convenience

Early State of the Records Program

- Security, Protection, and Storage of Records
  - Well established disaster recovery processes
  - Well managed access to records storage areas
  - Climate control lacking for all warehoused records

- Records Retention and Disposition
  - Records retention schedule up to date and approved by Secretary of State
  - Backlog of records to be destroyed
  - No processes for suspending destruction of records on hold
  - Confusion over record ownership

Early State of the Records Program

- Electronic Records Management System
  - Adoption of official records management system not as high as desired
  - Records management system did not manage email records
  - Various Access Databases and specialized systems used to manage some Sections' records
  - System not able to manage records retention
  - System not able to manage legal holds

Comprehensive Improvements to the Program

- Effort underway now to improve this

  - Records Coordinator Network

  - RIM Policies and Processes

  - Inventory Tracking

  - Physical Files Cleanup

  - Cultural Change Preparation

  - RIM Technical Architecture

Establish a Network of Records Coordinators

- Records management is centrally guided, but locally practiced

- Network of records coordinator identified at the Section level and trained
  - Records coordinator is a role, not a position.

- Purpose of the coordinator network is to:
  - Establish a direct link between Sections and the Records Manager
  - Provide common training, support, and guidance
  - Facilitate peer to peer relationships amongst coordinators
  - Encourage standardization and sharing of processes and best practices
  - Improve agency-wide communications about records responsibilities

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Round Out RIM Policies

- Policy Suite:
  - RM General Policy
  - Records and Information Creation, Classification and Protection
  - Records Archive/Offsite Storage
  - Record Disposition
  - Legal hold
  - Records and Information Discovery
  - Email and Electronic Communication Management Policy
  - Records and Information Management Training
  - Compliance Auditing

- Allow the RM Coordinator Network to review and approve

Develop and Implement RIM Processes

- Unify and optimize flow of information through the agency

- Improve upon existing procedures wherever possible

- Identify and implement new processes where necessary to address gaps

Procedure Suite
  - Records Retention Schedule Development and Maintenance
  - Record Inventory
  - Offsite Storage
  - Record Disposition
  - Legal Hold
  - Employee Separation
  - Public Records

Improve the Existing Inventory Tracking System

- Inventory of physical project records, plans, permits, field books, microfilm, and other records are maintained on several Microsoft Access databases

- An alternative system will allow barcode tracking of records and better understanding of records under management

- Associated new processes are being developed to support the new technologies

Inventory and Clean Up Physical Files

- Performed a comprehensive inventory of all physical records

- The majority of these records had not been indexed

- Associated the inventories with the retention schedule
  - Identified records eligible for destruction
  - Makes ongoing maintenance of offsite storage collection possible

- Identified historic records
  - Maps and telegrams dating as far back as the 1800s

Territoire D' Orleàns - 1806

City Map of New Orleans - 1728
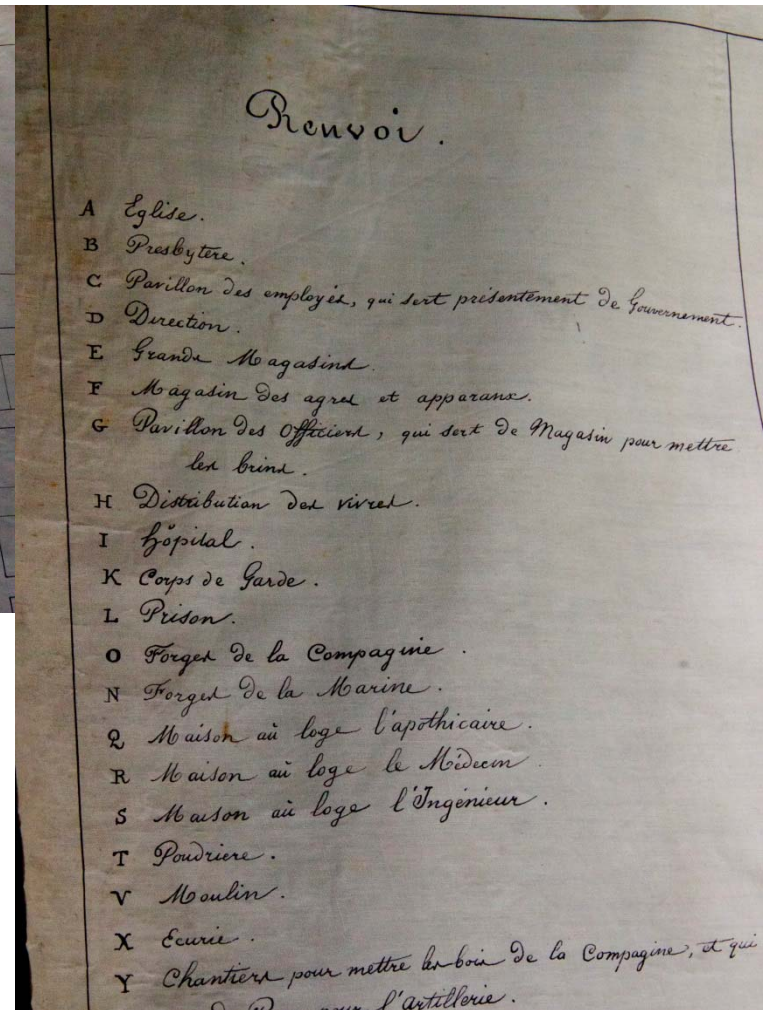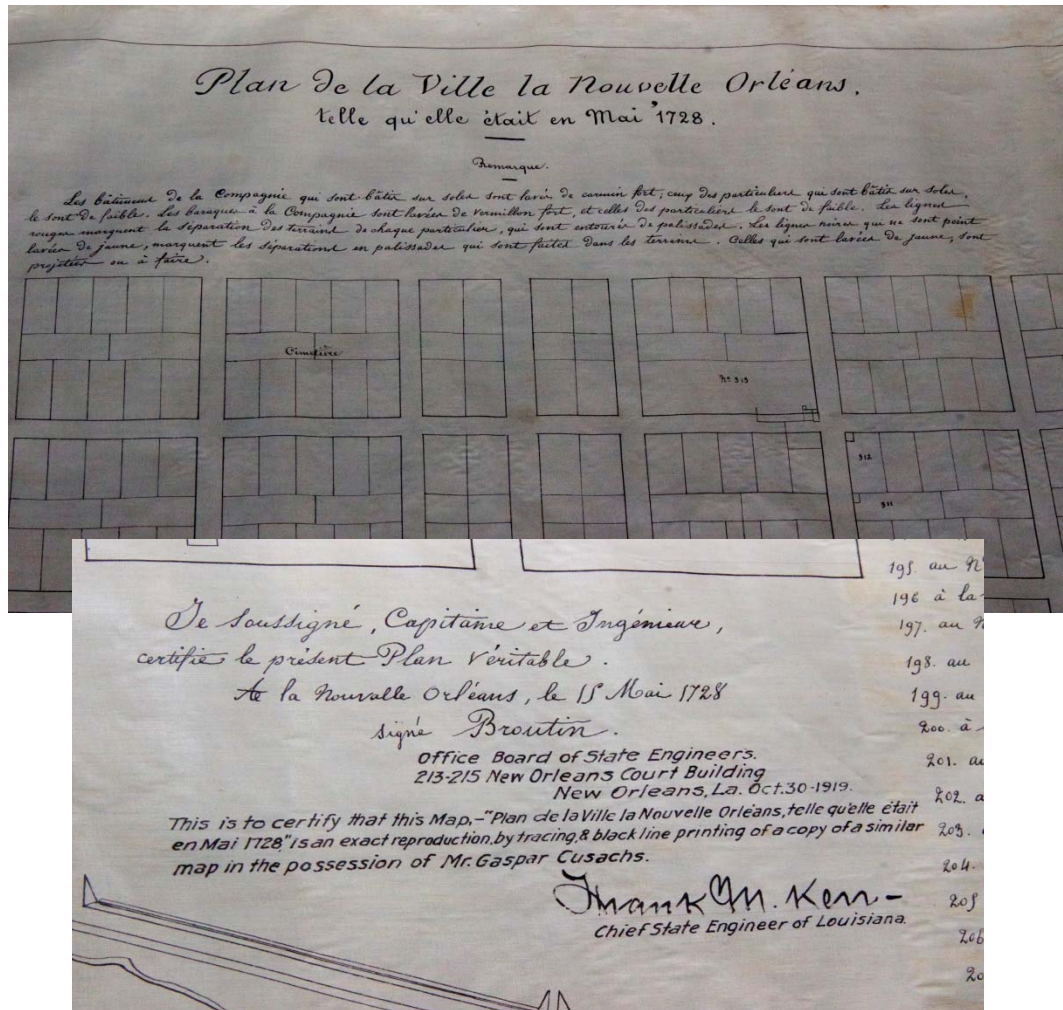
Prepare the Organization for Cultural Change

- A critical part of the program
  - Assesses the agency's readiness for change
  - Shapes desired behaviors
  - Guides course of action to ensure full adoption and overall success

- Communications plan developed

- Training strategy defined

- Training in process

Improve the RIM Technical Architecture

- Recommend improvements to the technical architecture
  - Identify current and future functional requirements
  - Derive technical requirements for a records management system
  - Define an appropriate technical architecture to support the requirements

- Results will be used by the State to issue a Request for Proposal for a records management system

- Subsequent project will be initiated to select and implement the system

Value Achieved

- LADOTD is better able to meet its mission of delivering transportation and public works that enhance the quality of life of its citizens and facilitates economic growth
  - Better organized records are easier to locate
  - Improved and consistent processes reduce costs to the taxpayers
  - Public access to records is more easily facilitated
  - Duplication of records is decreased
  - Collaboration between HQ, District, Sub-district, and unit office improved

Contact Information

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