

Distributed Succession Planning

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Overview

- Program Administrator
- 6 Month Process
- Traditional vs Distributed
- Quantifiable Analysis
- Change Management

Values

- Good communication
- Inclusivity of all staff, at all levels
- Respecting legacy

Strategic Plan

- Routine
- Ranked goals
- FYP

Project Charter

- Identify Stakeholders/Roles
- Boundaries/Exclusions
- Buy-in

Project Charter
Succession Planning for Records Management:
An Extensible Model
Ratified: March 11, 2013

Project Objective:

Development of a participatory model for capturing institutional knowledge and evaluating program needs for the purposes of succession planning, based on planning for the retirement of Dwight Wallis, the Records Administrator, in August 2013.

As Baby Boomers prepare for retirement, the risk losing the institutional knowledge in the government sector is great. We can turn this risk into an opportunity to shape the future of government administration by proactively working with longtime employees planning for retirement, capturing this knowledge and benefiting from their expertise, experience, and wisdom.

This project will develop a framework for recording and communicating this information and for identifying successors, based on making the best use of existing staff skills and considering the period of time approaching retirement as an opportunity to reassess how to best meet program objectives. The model will model the potential framework on the retirement of Dwight Wallis.

Project Organization:

Project Manager: Jenny Mundy

Project Sponsors:

- Tony Dornbusch
- Garret Vanderzanden
- Mary-Beth Allen

Project Work Team:

- Dwight Wallis
- Jenny Mundy
- Terry Baxter
- Kevin Dean
- Dorian Gualotunia

Project Work Team members will receive regular updates, at least weekly.

Project Sponsors will receive monthly updates.

Project Requirements/Characteristics:

- Buy in of Records Administrator, or, in the larger model, the staff person preparing for retirement.
- Sensitivity to generational differences, particularly in preferred methods of communication.

Gantt Chart

- Shared Document
- Google Drive
- Bite Size Pieces

Review of Administrator's Duties

- “Current” Job Description
- Records vs Distribution
- Management vs Professional Duties

Records: Management Duties	Records: Program Support	Distribution: Management Duties	Distribution: Supervisor Duties
Develops policies and procedures (county-wide)	Procedural documentation	Develops policies and procedures for county wide operations	Maintains metrics
Leads strategic planning and serves as an advocate for strategic goals and values	Internal process development and documentation	Leads strategic planning and serves as an advocate for strategic goals and values	Provides consultation
Develop and implement budgets	Provides consultation	Oversees distribution supervisor	Monitors trends and identifies information needs, develops benchmarks
Monitors trends and identifies information needs, develops benchmarks	Respond to public inquiries	Develops and implements budgets	Supervises personnel
Supervise personnel	Maintain metrics	Monitors trends and identifies information needs, develops benchmarks	Advises on training needs
Advise on training needs	Monitors trends and identifies information needs, develops benchmarks	Develops training plan	Manages purchasing
Develop training plans	Maintains and develops STAR	Develops facilities plans	Advises on internal support needs
Develop facilities plans	Web maintenance	Manages contracting and vendor relations	Manages vendor relations and maintains job control
Manage purchasing and vendor relations and contracts	Monitoring and implementing global updates when retention and organizational changes occur	Develops IT plans	
Develop IT plans	Imaging consultation	Develops fleet plans	
Addresses major stakeholder issues, both internally and externally	Advise management on internal support needs	Plans internal support needs	
Collaborates with stakeholders and professional colleagues to achieve strategic goals and values	Maintain and coordinate vendor job control	Addresses major stakeholder issues	
		Collaborates with stakeholders and professional colleagues to achieve strategic goals and values	
	Maintain routine stakeholder relations		
	Assist staff in records center operations		

Gap Analysis

- Reviewed Administrator's position
- Reviewed strategic plan
- Division of duties

Strategic Plan Gap Analysis
Records Management and Archives
Last updated: April 1, 2013

Black = From strategic plan

Blue = General notes

Red = Gaps in skill or essential skills that will need to be transferred

Numbers to left of strategic objective represent ranking.

1 Records Administrator retirement: Proactively help to ensure that replacement of Records Administrator is in alignment with program strategic goals.

Succession Planning	Electronic Records	Strategic Collaboration	Resource Availability	Score
H	H	H	H	12

(This is being handled through this process.)

1 Replace STAR system with Department of Defense (DoD) 5015.2 certified electronic records management system (ERMS): Replace obsolete STAR system (preferably before retirement of Records Administrator) with DoD 5015.2 certified ERMS system capable of providing foundation for digital repository; of supporting records center operations; and of scaling up to support agency electronic records keeping functions, when appropriate.

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- Actual process of replacement is in motion. We are working on implementing HP TRIM, pending the completion of contract negotiations with the State of Oregon
- Potential for scaling up to support agency record keeping
 - First implement for records program

Identified skills that may be required to support the change in systems

- Develop file plans (taxonomy, workflow, and retention)
- Training other agencies
- Develop policies and procedures related to the project (to help the customer moving forward)
- Project management

Skill Identified	Kevin	Terry	Jenny	FTE
<i>Develop file plans (taxonomy, work flow, and retention)</i>		Focus on retention	Focus on taxonomy	Focus on work flow, which can increase with ERMS
<i>Training other agencies</i>	Training on how to use the records center; maybe NEO		Training on Electronic Records Management.	Co-training with Jenny; how to use ERMS
<i>Develop policies and procedures related to the implementing/ maintaining ERMS.</i>			Involved to ensure that these comply with the overall digital repository plan	Particularly in regards to helping customers move forward and implement
<i>Project management</i>			Wants to pursue PSU accreditation; basic skills through Leadership Academy	Skills would be useful, especially experience with ERMS systems
<i>Knowledge of finance and funding</i>				Useful to help in cost allocation based on non-records center metrics and project ROI
<i>Skills in statistics and trend analysis</i>	gathering data			skills in statistical analysis and cost allocation
<i>Promote usage of TRIM</i>	Identify potential users through accessioning process	Identify potential users through consultation	Identify potential users through e-recs consultations	Could actively promote usage or provide needed training

New Position Description

- Worked with HR SME
- Distribution/redistribution of duties
- Review by stakeholders

Advice and Consultation

- Provide advice and consultation to agencies in identifying, analyzing and developing records related process improvements, including use of electronic records management technologies, and image conversion technologies.
- Develop policies and procedures supporting the maintenance of record keeping systems.
- Work with customers to coordinate the implementation and usage of electronic records management systems and image conversion projects.
- Assist in development and maintenance of program retention schedules; maintain knowledge of pertinent public records regulations.

Training

- Provide training to other agencies, as appropriate.
- Develop and present training in support of records management goals via a variety of techniques.
- Serve as liaison with training providers in support of records management training objectives.

ERMS Support

- Develop outreach programs to promote excellence in electronic records management, and to identify potential areas of improvement.
- Monitor customer utilization of electronic records management system to ensure continuous improvement.
- Maintain electronic records management system quality controls, ensuring various data sources - such as retention, taxonomy, and organization - are current and accurate.
- Maintain knowledge of electronic records management system capabilities, updates, and modules.
- Maintain knowledge of image conversion technologies.

Program Support

- Assists in taking phone requests from department agencies for files in the Records Center.
- Responds to public requests for information by identifying internal archival resources available, and/or by providing referrals to appropriate department, local, state, federal or private records resources.
- Direct customers to other staff as appropriate for advice and consultation.
- Monitor temporary workers, interns, and archives researchers, as appropriate.
- Provide guidance on selection of new storage materials for archives and records center, based on industry standards, environmental safety, and expected program needs.
- Serve as contract liaison, assisting in the development, implementation, and monitoring of program contracts related to electronic records management systems, document destruction, image conversion, and other related records management services.

New FTE

- Hiring
- Mentoring

What if...?

- someone leaves suddenly?
- the retiree doesn't give a date?
- a supervisor is still needed?

Jenny Mundy

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